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SECTION I

FACULTY PERSONNEL POLICIES

A. GENERAL DEFINITIONS

1. Definition of Faculty

According to the Bylaws of Lake Forest College adopted by the Board of Trustees on September 11, 1965, and amended by the FPPC on February 18, 1997, and amended by the Board of Trustees on May 12, 2006, the faculty is defined as follows:

The faculty shall consist of the President of the College, the Deans, the Associate Deans, the Assistant Deans, the Professors, the Associate Professors, the Assistant Professors, the Visiting Professors, the Visiting Associate Professors, the Visiting Assistant Professors, the Instructors, the Lecturers, the Registrar, the Director of Library and Information Technology, the Associate Librarians, the Academic Technology Specialists, the Vice President for Admissions and Career Services, the Associate and Assistant Directors of Admissions, and the Associate Director of Athletics and full-time head coaches.

Voting privileges are given only to faculty members holding full-time appointments at the College.

While the above definition embraces teaching and administrative faculty, both full- and part-time, as well as coaches, certain of the following sections apply only to the teaching faculty, most notably the policies on appointments, review, tenure, promotion, and sabbatical leave.

2. Equal Employment Opportunity

All faculty appointments must meet equal employment opportunity standards. The President of Lake Forest College defined these standards in the following proclamation, approved by the Board of Trustees on September 27, 1975 (amended February 28, 1978; December 3, 1994).

It is the stated policy of Lake Forest College that appropriate qualifications for and performance of specific duties are the basic criteria for the employment and promotion of all College academic and non-academic staff. Lake Forest College does not discriminate against any persons because of race, color, sex, religion, or national or ethnic origin in its education programs, activities, or employment. In addition, Lake Forest College is required by Title IX and regulations promulgated thereunder not to discriminate on the basis of sex in educational programs, activities, and employment. Lake Forest College does not discriminate on the basis of disability against any otherwise qualified person by denying participation in, or the benefits of, any College program or activity. Lake Forest College also does not discriminate on the basis of sexual orientation in its education programs, activities, or employment. For purpose of this policy, the term "sexual orientation" means the status of expression, whether actual or perceived, of heterosexuality, homosexuality, or bisexuality.

3. Academic Freedom

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

On May 8, 1965, the Board of Trustees adopted the following resolution on academic freedom:

- a. Lake Forest College subscribes completely to the principles of academic freedom as set forth in the Statement of 1940 adopted by the Association of American Colleges, and the American Association of University Professors and other organizations.
- b. A member of the faculty who believes that his or her academic freedom has been infringed by an action of the College may appeal through the President of the College or the Chairperson of the General Policies Committee (now the Faculty Personnel Policies Committee) of the Faculty to the Promotion and Tenure Subcommittee of FPPC (policy changed, Board of Trustees, Feb. 22, 1977).
- c. If an issue of academic freedom cannot be resolved satisfactorily locally and a member of the affected faculty should request the American Association of University Professors to make an inquiry into the case, the College will offer full cooperation in the investigation.

At the same time the Board of Trustees also approved as College policy the following statement printed in the June 1963 issue of the *Bulletin* of the American Association of University Professors:

- a. Teachers are entitled to full freedom in research AND in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- b. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

4. Conflict-of-Interest Policy for Trustees, Employees, and Institutional Officers

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

(Following adopted December, 1995)

- a. Scope. The following statement of policy applies to each member of the board and to all employees of Lake Forest College. It is intended to serve as guidance for all persons employed by the institution in positions of significant responsibility.
- b. Fiduciary Responsibilities. Members of the board, officers, and employees of the College serve the public trust and have a clear obligation to fulfill their responsibilities in a manner consistent with this fact. All decisions of the board and officers of the administration and faculty are to be made solely on the basis of a desire to promote the best interests of the institution and the public good. The College's integrity must be protected and advanced at all times.
- c. Disclosure. All trustees and employees are requested, and all faculty with federal Grants and Staff of the College who administer Grants are required, to list on this form *only those substantive relationships* that he or she maintains (or members of their family maintain) with organizations that do business with the College or otherwise could be construed potentially to affect their independent, unbiased judgment in light of his or her decision-making authority or responsibility. In the event a trustee or an employee is uncertain as to the appropriateness of listing a particular relationship, the chair of the board of trustees *and/or* the president or vice president for business affairs should be consulted. They, in turn, may elect to consult with legal counsel, the executive committee, or the board of trustees in executive session. Such information, including information provided on this

form, shall be held in confidence except when, after consultation with the trustee or employee, the institution's best interests would be served by disclosure.

The following definitions are provided to help trustees and employees decide whether a relationship should be listed on this form:

Business Relationship: One in which a trustee, employee, or a member of his or her family as defined below serves as an officer, director, employee, partner, trustee, or controlling stockholder of an organization that does substantial business with the College.

Family Member: A spouse, parents, siblings, children, or any other relative if the latter resides in the same household as the trustee or employee.

Substantial Benefit: When a trustee, employee, or a member of the trustee's or employee's family (1) is the actual or beneficial owner of more than 5 percent of the voting stock or controlling interest of an organization that does substantial business with the College or (2) has other direct or indirect dealings with such an organization from which the trustee or a member of the trustee's or employee's family benefits directly, indirectly, or potentially from cash or property receipts totaling \$10,000 or more annually.

- d. Restraint on Participation. Trustees, officers, or employees who have declared or been found to have a conflict of interest shall refrain from participating in consideration of proposed transactions, unless for special reasons the board or administration requests information or interpretation. Persons with conflicts shall not vote nor be present at the time of vote.

B. APPOINTMENTS, REVIEW, TENURE, PROMOTION, AND RETIREMENT

The following applies to full- and part-time faculty who teach courses at Lake Forest College which lead to an academic degree.

Eligibility of Employment

All new employees must comply with the Immigration Reform and Control Act of 1986, and verify, in person with the Business Office prior to actual employment, their "eligibility of employment." Verification of employment eligibility requires the completion of an I-9 form and the presentation of original documents proving identity and eligibility to work in the United States (i.e., for U.S. citizens, a driver's license with photo and original Social Security Card). It is unlawful for the College to hire individuals unauthorized to work in the United States (Amended September 1, 1987, in light of new federal guidelines).

Background Check Policy

(Effective July 26, 2009; updated October 1, 2010)

It is the policy of Lake Forest College to conduct background checks on all individuals hired into any biweekly, monthly, faculty, or temporary position. The purpose of this policy is: 1) to verify the identity and credentials of applicants; 2) to assist the College in determining a candidate's overall employability; 3) to protect organizational assets including personnel, property, and sensitive information; and 4) to promote a safe learning and working environment and protect the welfare of current and future students, faculty, staff, and visitors to the College, consistent with its nondiscrimination and fair employment policies.

Lake Forest College will conduct a background check on a job candidate once a conditional offer of employment has been extended. The type of information included in the background check includes, but is not limited to: Social Security number validation; federal, state, and county criminal checks; national sex offender registry; credit history and worthiness; education verification; driver's license verification; and motor vehicle records. Educational verification will be included in the background check for all full time candidates. Offers of employment are contingent upon satisfactory completion of the background check and candidates will not begin to work until then.

The College will use a third party agency to perform the background checks and will ensure that all background checks are conducted in compliance with federal and state statutes, including the Fair Credit Reporting Act. The Fair Credit Reporting Act requires the College to inform a candidate of his or her rights under the Act and obtain a written authorization before requesting a background report. A candidate who refuses to provide written authorization will be disqualified from further consideration for employment.

The results of the background check will be kept strictly confidential. Information that is relevant to the employment of the individual will be shared only with the Director of Human Resources, the Provost, and the President of the College. A previous conviction does not automatically disqualify an individual from employment; Lake Forest College will comply with all applicable federal, state, and local laws and regulations regarding criminal convictions and the consideration thereof in employment. A candidate who attempts to falsify information during the application process will be disqualified from employment. If an employment offer is withdrawn on the basis of the results of the background check, the College's third party agency will inform the candidate of his or her rights, provide the candidate with a copy of the report, and allow the candidate to dispute inaccurate information.

FACULTY HIRING PROCEDURES

This document was approved by FPPC on October 25, 1990, Revised April 23, 1992, Revised March 25, 1997. Revised September, 2000. Revised April/September 2005.

Lake Forest College is committed to hiring faculty members who are intellectually and personally well qualified for positions at a liberal arts college. The College is also committed to the principle of equal employment opportunity and actively seeks cultural, racial, and gender diversity in its faculty. The procedures described here are intended to guarantee as much as possible the meeting of those commitments and the systematization of the selection process. Procedures vary somewhat for teaching faculty and other faculty (administrators with faculty status, librarians, and physical education staff).

1. Authorization: Authorization of a faculty opening is made by the President.

In the case of teaching faculty, the President acts upon recommendation by the Academic Resources and Review Committee (ARRC). To insure a prompt start of search procedures, ARRC recommendations normally should be determined as early in the college year as possible.

In the case of administrators, librarians, academic technology specialists, or physical educators, the President first consults with the College Council. In the case of ranking administrators (e.g., Dean of the Faculty, Dean of Students, Director of Admissions, Registrar, Director of the Library and Information Technology, Director of College Athletics) or teaching administrators (e.g., Directors of the Writing Center, Internships, or Theater), the President also consults with the Faculty Personnel Policies Committee (FPPC).

2. Search committee and coordinator: For academic departments in which a vacancy occurs, the chairperson or a department member designated by the chairperson coordinates the search and interview process, assisted by other departmental faculty as additional members of the search committee. For positions of ranking or teaching administrators or where an academic department vacancy entails a chairperson position, the coordinator and others on the search committee are specially appointed by the President, acting upon recommendation by the FPPC. In the case of an opening for a physical educator or for an associate or assistant dean, librarian, or director of admissions, the appropriate supervisor coordinates the search, assisted wherever possible by colleagues as additional search committee members. Every search committee also includes a faculty or staff member from the FPPC Faculty Diversity Recruitment Subcommittee (FDRS), appointed by the chairperson of that Committee. The FDRS representative is a full voting member of the search committee.

The search coordinator calls an initial meeting of the search committee to discuss the nature of the position in light of departmental and/or institutional directions.

3. Search plan: The search coordinator devises a detailed plan indicating the process by which the search will be conducted. The FDRS member of the search committee should keep diversity issues in the foreground of discussions about the search process and candidates.

The plan must provide for broad dissemination of information to a spectrum of potential candidates. The search committee's plan should include specific steps designed to attract minority and women candidates. These steps may include (a) explicitly assigning responsibility to individual faculty members for making contacts and for following up leads which may result in attracting candidates who might otherwise overlook the announcement of the opening, and (b) writing to officers of women and minority professional organizations and to other individuals known to be interested in supporting women and minority candidates for professional appointments.

The plan must show the advertising text and media to be used. Appropriate media include professional journals, special professional job listings, widely distributed newspapers and magazines, and letters to graduate departments and individuals. Personal contacts and telephone inquiries also should be used to increase the quality, quantity, and variety of the applicant pool.

4. Faculty Diversity Recruitment Subcommittee

The College also appreciates its opportunity, within the limits of the law, to take affirmative steps to recruit faculty who are diverse in race, ethnicity or gender. We look to enhance the diversity of our faculty, in these particulars, both overall and within individual departments through our hiring procedure by involving the Faculty Diversity Recruitment Subcommittee (FDRS) at every step of the hiring process.

Charge to the Subcommittee:

The goal of the subcommittee is to promote the recruitment of minority and women faculty by working with search committees for teaching faculty positions at the College. An FDRS member is assigned to each search undertaken for full-time tenure-track teaching faculty. The FDRS member is a full voting member of the search committee who shall be given the opportunity to be involved in every aspect. The Faculty Diversity Recruitment Subcommittee reports to the Faculty Personnel Policies Committee (FPPC).

Composition:

1. The FDRS is established annually by the FPPC. It is comprised of tenured Faculty members.
2. The size of the committee is determined by the number of searches authorized for the academic year for which the committee is instated. Ideally, there will be one committee member appointed per search authorized.
3. To establish continuity on the committee, committee members are assigned up to a three-year term. The chair of the committee will be someone who has already served on the committee.
4. The dean of the faculty or an associate dean of the faculty is an ex-officio member of the committee.

Duties of the Faculty Diversity Recruitment Subcommittee

a. Chairs

The chair meets with all FDRS members to go over procedures at least once a year. The chair should be informed by the dean of the faculty when approval is given to conduct a search. The chair then assigns a member of the FDRS to each search, from the same division when possible but not from the same department. The chair then contacts chairs of search committees as they begin to formulate a search plan. The FDRS member participates in the formulation of the job description and the search plan as a full member of the committee.

b. Members

As a full member of the faculty search committee, the FDRS member assists the search committee in identifying diversity issues for both the College and for the department as they formulate the job description. The FDRS member of the search committee keeps diversity issues in the foreground of discussions about the search process and the candidates. If the FDRS member has any concerns about the conduct of a given search with respect to the charge of the FDRS, the FDRS member is encouraged, and indeed expected, to report these concerns to the FDRS chair, FPPC and directly to the dean of the faculty and the president, if so compelled. Such a report could lead to suspension of the search by the dean of the faculty.

c. Dean of the Faculty

The dean of the faculty or associate dean of the faculty serve as ex-officio members of the FDRS during the academic year, but represent the subcommittee for searches undertaken during the summer. A database of organizations to contact to attract minority and women candidates will be maintained by the dean of the faculty office for faculty search committees to consult. The dean of the faculty collects the reports of the subcommittee.

d. Reports

The FDRS member must co-sign, along with the chair of the search committee to which he or she is assigned, an equal opportunity report. This report presents a record of the steps taken in the search, the screening and recommendation process, and of the criteria used in this process. Brief reports for each search undertaken during that academic year summarize the efforts taken to attract minority and women candidates and the results of the search, including an analysis of lack of success. These will be collected by the FDRS chair who then provides them to the dean of the faculty.

From the reports filed for each search, an annual report is provided at the end of the academic year to the FPPC regarding the activities of the FDRS. This report includes statistics for each search, concerning the number of minority and women candidates among the entire pool of candidates for the position, as well as can be determined. The chair of FPPC reports to the faculty in the fall as to the recruitment efforts of the previous year.

In recruiting and appointing faculty, every effort shall be made to obtain the best qualified person for the available position. If this effort results in a relationship in which one member of a family would be evaluated by another member, some substitute arrangement for such evaluation will be worked out. Other departmental faculty and/or a special committee appointed will function for that purpose.

5. Advertisement: Coordinators are responsible for publicizing tentative or authorized openings. Teaching faculty positions are normally advertised only after the President has accepted recommendations of the ARRC on faculty allocation. The search coordinator may, however, seek permission for early advertising from the Dean of the Faculty. Announcements or advertisements placed at this early time must characterize the position as "anticipated" or "possible" and may state the expected time of the authorization decision.

All advertisements should include the following brief description of the College. "A highly selective liberal arts college located on Chicago's North Shore, Lake Forest College enrolls approximately 1,450 students from over 45 states and 65 countries. At Lake Forest College, the quality of a faculty member's teaching is the most important criterion for evaluation. The College also expects peer-reviewed publications and active participation in the College community. Lake Forest College embraces diversity and encourages applications from women and members of other historically underrepresented groups."

Each announcement or advertisement for a continuing appointment must state whether the appointment is one for which future tenure consideration is either possible or at the time unlikely. In addition, all advertisements must carry the statement, "Lake Forest College embraces diversity and encourages applications from women and members of other historically underrepresented groups."

6. Review of applications: Applications are examined by the coordinator and other search committee members, who together select the most promising candidates for further consideration.

7. Preliminary interviews: Whenever possible, preliminary interviews are held in order to bring a limited number of candidates to campus for official interviews; but such an interview is not a prerequisite for invitation for an official interview. Coordinators and delegated search committee members may conduct preliminary interviews at professional meetings. Sometimes these can be held on campus--as when candidates live nearby or are passing through Chicago.

In all instances of preliminary interviews, as in official interviews, concern for equal employment opportunities and a diverse faculty must be demonstrated.

8. Recommendations for official interview: The coordinator submits to the Dean of the Faculty or President, as appropriate, the files of at least two candidates the search committee recommends be brought to campus, along with files of other candidates in rank order, for a total of five. If these five do not include minorities and women, files of top candidates in those categories are submitted as well. At this stage the FDRS member should report any objections to the Dean or President.

9. Approval for official interview: For teaching faculty, approval must be given by the Dean of the Faculty before an invitation for an official on-campus interview is extended. For other faculty, approval must be given by the President or, at the President's discretion, the Dean of the Faculty. Approval entails a determination that the principle of equal employment opportunity has been fully adhered to in the search and screening process, that a complete dossier on the candidate has been obtained, and that the search committee has made a careful evaluation of the candidate's qualifications and supporting material. If approval is denied, the reasons must be given to the coordinator.

10. Eligibility for U. S. Employment: The Chair of the Search Committee will determine that the candidate is eligible to work in the United States during the period for which they would be hired. For current regulations, please consult the office of the Dean of the Faculty.

11. Preparation for official interview: The coordinator is responsible for arranging a detailed interview schedule, with the aid of the Office of the Dean of the Faculty or, where appropriate, the Office of the President. Copies of the candidate's *curriculum vitae* are prepared for distribution to students scheduled for official interviews, and copies of the complete dossier are made available to involved faculty members. The Office of the Dean of the Faculty assists in distributing materials, arranging overnight and dining accommodations, and making reimbursement for travel and other costs.

12. Interviews: In the official interview process, the candidate should be interviewed by as many of the following as possible:

- a. the coordinator and all other members of the search committee;
- b. other faculty in fields akin to those of the candidate;
- c. appropriate students (Academic Advisory Committee, Athletic Council, or students appointed by the search coordinator);
- d. other students, especially relevant majors, and without faculty present;
- e. faculty appointed by the FPPC chairperson;
- f. the Dean of the Faculty;
- g. the President of the College.

Normally, one FPPC member is appointed by the FPPC chairperson to interview all candidates for a particular position. The FPPC representative's main functions are to provide information to the candidate (e.g., faculty governance and collegiality, and fringe benefits like medical insurance, faculty housing, the mortgage subsidy, and the Hotchkiss fellowships) and to help insure evenly high standards in the hiring of faculty, noting especially the candidate's commitment to the liberal arts, the understanding of the nature of college teaching, and potential involvement in extra-curricular activities. For physical education candidates the FPPC chairperson should appoint as a second interviewer an LFC faculty representative to either the Midwest Collegiate Athletic Conference or the Northern Collegiate Hockey Association. Elsewhere, as appropriate, the FPPC chairperson may appoint an additional interviewer from a department or unit other than the one of the vacancy but with some understanding of the candidate's general field.

For teaching faculty positions, coordinators are urged to have the candidate present a lecture or otherwise participate in a class. For any other faculty position that may include some classroom duties, the chairperson of the relevant department should participate in the interview and recommending process.

13. Interview reports: Interviewers other than the Dean and the President inform the coordinator of their evaluations of the candidate, using a written format determined by the FPPC. These evaluations are reviewed by the search committee.

14. Recommendation for appointment: For teaching faculty appointments, after the search committee has agreed to recommend a candidate, the coordinator so informs the Dean of the Faculty in writing, attaching copies of all dossiers and interview comments. For appointment of other faculty, communications are sent directly to the President or the President's designee, who then consults with the FPPC before making the appointment.

15. Equal opportunity report: The coordinator must submit (to the Dean of the Faculty or President, as relevant) an equal opportunity report on a provided form (pending review by FPPC and college counsel). The report presents a record of the steps taken in the search, screening, and recommendation process, and of the criteria used in this process, and must be cosigned by the FDRS member of the search committee.

16. Formal appointment: After acceptance of an appointment offer made by the President or the Dean of the Faculty, the President submits the name of the candidate to the Board of Trustees for approval and formal appointment. For information on appropriate titles and length of appointment for teaching faculty, see the policy statement on appointment, tenure, and promotion in the *Faculty Handbook*. The terms of appointment for all faculty are stated in the appointment letter.

17. Saving records: All documents connected with the search, including the information submitted by all applicants, must be retained by the coordinator for one year from the time a candidate accepts the position offered.

18. Exceptions to these procedures: Exceptions to these procedures may occur only in the following cases:

a. Part-time openings: Advertising of such positions may be limited to the more immediate geographical area. Candidates for teaching assignments are interviewed normally by the department faculty, the academic advisory committee, the designated FDRS member, and the Dean of the Faculty. Candidates for other assignments are interviewed normally only by the relevant supervisor and colleagues, students (where appropriate), the FDRS member, and the Dean of the Faculty or President.

b. Internal candidates: On rare occasions, a search committee may believe that a person currently holding a full- or part-time position at the College is so exceptionally qualified, both by information and recommendations presented at the initial hiring and by subsequent performance, that a national search seems unnecessary and wasteful. In such cases, the search committee, through its coordinator, recommends that a national search be postponed. The recommendation will be honored only if it is formally approved by the FDRS member of the search committee, the FPPC, the Dean of the Faculty, and the President. Formal interview procedures 10-12 will still be followed, though they may be modified by the FPPC to expedite the process and avoid unnecessary duplication of interviews.

c. Late and emergency appointments: If normal procedures cannot be implemented (as, for example, when the formal interview process is scheduled for a time after the end of the college year, or in filling an immediate vacancy caused by illness or death), the usual procedures should be followed as closely as possible. The Dean of the Faculty will assume FPPC responsibilities when hiring is done during the summer--insuring, however, that candidates are interviewed by at least three members of the teaching faculty and by someone representing the FDRS. The appointment is of a one-year terminal nature or, in the case of emergency appointment, until the end of the college year or on an acting basis. If the position is full-time and its continuance is authorized for a subsequent academic year, a national search must then be conducted.

d. Unpaid teaching faculty: Persons who offer to teach a course without pay and who are not otherwise employed by the College will only teach courses not regularly offered and will not be counted as part of the department's faculty allocation (as determined by the ARRC). Such faculty appointments must be approved by the appropriate department chairperson, the FPPC, the Dean of the Faculty, and the President.

1. Appointment to the Faculty

(Approved by Board of Trustees, December 6, 1975)

Full-time faculty appointments are made by the Board of Trustees. All candidates for faculty positions are interviewed by members of the Faculty Personnel Policies Committee and the Dean of the Faculty, who together make final recommendations to the President about the person as well as about the title and/or professorial rank. Upon acceptance of an offer on the part of the new faculty member, the President will submit for approval by the Board of Trustees the appointment of the candidate.

Mission Statement: As the College's mission statement makes clear, our faculty of distinguished scholars takes pride in its commitment to teaching. We know our students by name and prepare them to become responsible citizens of the global community. We foster creative talent and independent research. We embrace cultural diversity. Diversity requires a broad definition. Faculty, students and staff are diverse in many ways: in race, religion, ethnicity, gender, sexual orientation, geographic origin, political beliefs, disability status and still other characteristics. The College embraces diversity in this expansive sense; people should feel welcome and comfortable on our campus regardless of background or persuasion.

2. Appointment to Teaching Faculty

(Approved by Board of Trustees, October 22, 1977; amended February 22, 1992; amended April 7, 1999)

Appointment to the teaching faculty is made with the title Lecturer, Instructor, Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, Assistant Professor, Associate Professor, or Professor. The last three are successive professorial ranks open only to those having a full-time appointment at the College. In disciplines where a doctorate is normally expected as the appropriate final credential, full-time faculty without the doctorate are appointed as Instructors. All part-time faculty are appointed as Lecturers, except that tenured faculty who accept a part-time position continue in their ranks.

Appointments to the teaching faculty are for a term (up to three years) or continuing. Term appointments end at the specified time without further notification from Lake Forest College. Continuing appointments are annually renewed until notice of termination is given in accordance with the policy on "Termination of Employment of Non-Tenured Faculty" (See C.2.a.). All part-time appointments are for not more than one year.

Determination of faculty openings is made by recommendation of the Academic Resources and Review Committee (ARRC). In the case of a full-time position the ARRC should recommend, in consultation with the department chairperson, that it be continuing or for a specified term; the President may consult with the Faculty Personnel Policies Committee (FPPC) before deciding upon the nature and length of the full-time appointment. The nature and, in the case of term appointments, length must be clearly specified both in advertising and in the letter of appointment.

Most faculty appointments at the College are made in a single academic department. In the case of a faculty member appointed to one or more interdisciplinary programs, the reviews specified in Sections I.B.4,5,6 will be conducted by a committee comprised of designated faculty members from the programs and departments in which the faculty member teaches. This committee will be selected at the time of initial appointment by the Dean of the Faculty in consultation with the faculty member. The Dean will also assign one member of this committee to be responsible for coordinating the review.

3. Countable Service for Review, Tenure, and Promotion

(Approved by Board of Trustees, May 6, 1983)

For purposes of third-year review, tenure consideration, and promotion consideration, countable service will normally be measured by full academic years. For faculty on continuing appointments or with tenure, an academic year which includes a reduction of one third or less of the normal teaching load will count as a full year; an academic year which includes a reduction of more than one third of the normal teaching load will not be countable, with the following exception: If the reduction is a leave of absence for academic purposes, that year will count in the timing for tenure consideration provided the faculty member so stipulates this as part of the leave request; otherwise it will not count. Faculty participation in an Associated Colleges of the Midwest (ACM) program during the academic year will normally count as Lake Forest College teaching service; the applicable statement in the appointment letter will be the determining factor.

4. Annual Review

(Approved by Board of Trustees, October 22, 1977; amended, October 3, 1980, September 23, 1988, May 11, 1990, March 5, 1997.)

By January 20, every faculty member will submit to his or her department chairperson a current *vita* and, on a form provided by the Dean of the Faculty, a description of academic, scholarly, and service activities for the previous calendar year. (Faculty who have participated in ACM-associated programs should submit information regarding that participation as well.) By April 1, chairpersons will submit to the Dean of the Faculty these materials, similar information about themselves, and evaluations of the performance of all members of their department.

All of these materials (*vita*, description of annual activities, and the chairperson's annual evaluation) will be referred to when making decisions concerning termination and reappointment. They will also be used by the Dean of the Faculty in recommending to the President individual salary levels for the succeeding academic year. In the case of untenured faculty, chairpersons should also address anticipated departmental and College needs as they bear on the faculty member's future at the College. The chairperson must convey in writing the general nature (or provide the actual text) of the evaluation to the faculty member prior to its submission.

5. Third-Year Review

(Approved by Board of Trustees, October 22, 1977; amended, October 3, 1980, September 23, 1988, May 11, 1990, March 5, 1997.)

In the case of faculty who could later be eligible for tenure consideration, a review in the third year of countable service as a faculty member is conducted by a review committee consisting of the Dean of the Faculty, one member of the Promotion and Tenure Subcommittee (as assigned by the PTS chairperson), and the department chairperson.

- a. The following criteria are employed for third-year reviews:

Teaching. Demonstration of capability and effectiveness in teaching, with evidence of ability to respond to present and future teaching needs of the department and the College. Teaching is the most important criterion for the third-year review.

Scholarship. Promise of productivity in published scholarship or appropriate creative activity.

Service. Active participation in and contributions to the College in its governance, on-campus programs, or other co-curricular activities.

Need. In every third-year review, the academic needs of the relevant department(s), interdisciplinary programs, and the College as a whole are crucial. The following major needs are considered: the candidate's academic specialties, flexibility within sub-disciplines within a department, flexibility in responding to the development of the College's curriculum and changes in its enrollment patterns, and the continued stimulation of the intellectual atmosphere of departments and the College usually provided by new members of the faculty.

While primary emphasis is placed on the above criteria, consideration is also given to the faculty member's degree status, experience in teaching, fellowships and awards, grant applications, participation in professional organizations, presentations at professional meetings, lectures outside the College, student advising, participation in departmental and interdepartmental programs, published writings, and any other College, community, or professional activities.

b. The third-year review committee considers the following materials:

- The faculty member's current *vita*.
- A personal statement of activities and accomplishments written by the faculty member.
- The College's student evaluations of the instructor.
- A letter from the department chairperson.
- Letters from each tenured member of the department.
- Letters from the department's Student Academic Advisory Committee.

c. A faculty member up for third-year review is responsible for the following:

- i. Early in the fall semester, the faculty member invites his or her department chairperson and all tenured members of the department to visit his or her classes.
- ii. By January 20, the faculty member provides the Dean of the Faculty the following items.
 - a. A current *vita*.
 - b. A personal statement that concisely addresses each of the criteria listed above in Section 5.a. The faculty member is welcome to elaborate specific details to whatever length may seem necessary. The personal statement must also include a description of the scholarly activities the faculty member will pursue during his or her Hotchkiss leave given a successful third-year review. The faculty member is reminded that, since the letter from the department chair is also due to the Dean's office by January 20, most chairpersons will want to see the personal statement well before this deadline.

The faculty member is reminded to list or discuss his or her service on College committees, student advising activities, involvement in senior theses and independent projects, and all other College and department service either on the *vita* or in the personal statement.

- iii. In addition to the *vita* and personal statement, the faculty member is welcome, but not required or expected, to provide the Dean of the Faculty with other materials to support specific claims made in the personal statement. Examples of additional materials include but are not limited to: copies of syllabi and exams, grant applications, reprints of publications or copies of manuscripts under review, evidence of creative works, and letters from students, alumni, or colleagues. The faculty member is encouraged to discuss his or her choice of additional materials with the Dean of the Faculty.

d. The Dean of the Faculty is responsible for the following:

- i. The Dean of the Faculty invites the faculty member for a meeting in early fall to discuss the third-year review process.
- ii. The Dean of the Faculty solicits evaluative letters from the department chairperson and from all tenured colleagues in the department. All letters from tenured colleagues are to be based in part on classroom visits arranged in advance with the faculty member. To encourage an honest evaluation, all letters will be treated confidential by the third-year review committee. In departments or programs without tenured faculty, the Dean of the Faculty in consultation with the FPPC and the candidate will designate appropriate senior faculty to write letters in place of those that would have been written by tenured department members.
- iii. The Dean of the Faculty solicits letters from each student currently serving on the department's Student Academic Advisory Committee.
- iv. The Dean of the Faculty makes the faculty member's student evaluations available to the third-year review committee.

e. The department chairperson is responsible for the following:

- i. The department chairperson meets with the faculty member in early fall to discuss the third-year review process.
 - ii. The department chairperson provides the Dean of the Faculty with a letter evaluating the faculty member in each of the criteria listed in Section 5.a. The letter must be based in part on classroom visits arranged in advance with the faculty member.
 - iii. The department chairperson serves as one of the three members on the third-year review committee.
- f. By February 15, the review committee formally recommends to the President that the faculty member be retained on a continuing appointment or be given a one-year terminal appointment. After the President has informed the faculty member of the decision, the Dean of the Faculty, in a letter approved by other members of the review committee, informs the faculty member of the committee's evaluation of his or her strengths and areas of needed improvement, and addresses the faculty member's current and anticipated position with regard to department and College needs. The faculty member is then encouraged to meet with the Dean or department chairperson to discuss the evaluation. The letter from the Dean of the Faculty to the faculty member will be provided to the Promotion and Tenure Subcommittee should the faculty member eventually be considered for tenure.

Unless changing College needs require reduction in faculty size or departmental allocations, faculty members retained on a continuing appointment after the third-year review will ordinarily be considered for tenure in their sixth year of countable service.

To eliminate any misconception that a successful third-year review necessarily implies a successful tenure review, the FPPC stated the following on December 7, 1981: "The criteria for tenure are more stringent and comprehensive than those for third-year review. Faculty are encouraged to discuss the procedure and criteria for third-year and tenure review with their chairperson or the Dean of the Faculty."

6. Tenure

(Approved by Board of Trustees, October 22, 1977; amended May 11, 1990; amended December 4, 1991; amended February 22, 1992; amended April 6, 1994; amended March 5, 1997.)

The Promotion and Tenure Subcommittee of the Faculty Personnel Policies Committee considers faculty members for tenure only upon recommendation by their department chairperson or the Dean of the Faculty. A recommendation for tenure does not by itself entail a recommendation for promotion.

a. Definition of Tenure

Tenure is a commitment by the College to retain a faculty member on a full-time basis until the faculty member's employment ends through resignation, retirement, or dismissal or termination for cause.

b. Eligibility for Tenure Consideration

Eligibility for tenure consideration is restricted to full-time faculty in professorial ranks whose primary duty (defined as over half-time) is to teach courses which lead to an academic degree at Lake Forest College and who have completed their doctorate or, in the case of faculty in the creative or performing arts, an appropriate terminal degree. Instructors serving primarily as laboratory supervisors can be retained on a yearly basis without being eligible for tenure consideration. Faculty members are considered only once for tenure.

c. Timing for Tenure Consideration

Tenure consideration must be timed to meet the following principles:

- i. Ordinarily, a faculty member completes the tenure process in his or her sixth year of countable service at Lake Forest College.
- ii. Faculty members initially appointed at the rank of Associate Professor or Professor shall receive tenure no later than at the end of four years of countable service at Lake Forest College unless the appointment to the fourth or prior year was a terminal appointment.
- iii. Faculty members initially appointed at the rank of Associate Professor or Professor and as a department chairperson may be considered for tenure, upon recommendation of the Dean of the Faculty, after the completion of one year of countable service.
- iv. Other eligible faculty members shall receive tenure no later than at the end of seven years of countable service at Lake Forest College unless the appointment to the seventh or prior year was a terminal appointment.
- v. Three years or fewer of prior teaching with the doctorate at another institution may, for purposes of tenure, be counted as equivalent to teaching at Lake Forest College, but no more than three years of credit will be granted for such prior experience. A new faculty member will be given the choice of whether to count all or some eligible prior experience or to waive the counting of such experience in the initial letter of appointment.

Early tenure decisions—that is, consideration before the maximum time allowable in accordance with the above principles—will entail more rigorous application of the criteria than is normally the case.

d. Need Criteria for Tenure

In every instance of tenure consideration, the academic needs of the department concerned, of interdisciplinary programs, and of the College as a whole are crucial. The following major needs are considered: the candidate's academic specialties, flexibility within sub-disciplines within a department, flexibility in responding to the development of the College's curriculum and changes in its enrollment patterns, and the continued stimulation of the intellectual atmosphere of departments and the College usually provided by new members of the faculty.

e. Performance Criteria for Tenure

Candidates for tenure are judged on their teaching, scholarship, and service, in that order of priority, according to the following performance criteria:

Teaching. Demonstration of commitment to teaching, with evidence of marked effectiveness at both introductory and advanced levels, and of ability and willingness to meet present and future teaching needs of the College.

Scholarship. Demonstration of commitment to scholarship and promise of continued productivity, through published (or accepted for publication) articles in selective professional periodicals or by a refereed book manuscript. For faculty primarily in creative or performing arts: demonstration of commitment to artistic creativity, with evidence of quality refereed achievements.

Service. Demonstration of commitment to serving the College community, with evidence of active involvement in co-curricular functions and student advising and of contributions in other service areas such as on college committees.

While primary emphasis is given to the above criteria, consideration is also made of other College, professional, and community activities, such as participation in workshops to improve teaching, contributions to departmental and interdepartmental planning and programs, participation in professional organizations and conferences, book reviews, journalistic or other occasional publications, and recent fellowships or awards.

f. Procedures for Tenure Consideration

- i. At the Dean of the Faculty's invitation, tenure candidates meet with the Dean during the spring or summer prior to tenure consideration to discuss the tenure process.
- ii. A candidate for tenure is responsible for the following:
 - a. In order for the Dean of the Faculty to solicit letters from external reviewers, tenure candidates must provide the Dean of the Faculty a list of potential external reviewers who are able to evaluate the candidate's research record. Candidates should discuss the composition of the list with the Dean early in the summer. To allow external reviewers to fully examine the candidate's record, the candidate must also provide the Dean with an updated *vita* and evidence of scholarly output or creative works since starting at the College (e.g., copies of published papers, book manuscripts, recorded performances, copies of reviews, representations of creative works). The list of potential reviewers, *vita*, and evidence of scholarly output should all be provided to the Dean of the Faculty by August 15.
 - b. The candidate invites the department chairperson and all tenured members of the department to visit his or her classes. Although candidates must extend such invitations at the latest by the first week of classes in the fall, candidates are encouraged to arrange for this starting as early as the previous spring semester.
 - c. By October 10, the candidate provides the Dean of the Faculty with a personal statement outlining his or her achievements with regard to the performance criteria for tenure. The candidate's personal statement should also address issues relevant to the need criteria. The personal statement should be appropriately concise, but the candidate is welcome to elaborate specific details to whatever length may seem necessary. The candidate must also provide a draft of the personal statement to his or her department chairperson in time for the chairperson to provide a letter on the candidate's behalf by October 10.
 - d. In addition to the above materials, the candidate is welcome, but not required, to provide the Dean of the Faculty with other materials to support specific claims made in the personal statement. Examples include, but are not limited to, copies of syllabi and exams, grant applications, a statement of teaching philosophy, and letters from students, alumni, and colleagues. Letters written by others on the candidate's behalf should be sent directly to the Dean of the Faculty. It is the candidate's responsibility to convey the October 10 deadline to letter writers. The candidate is encouraged to discuss his or her choice of additional materials with the Dean of the Faculty.
 - e. The candidate meets with the Promotion and Tenure Subcommittee after all materials have been submitted but before final deliberations have begun.
- iii. The department chairperson is responsible for the following:
 - a. During the spring term prior to the candidate's tenure application, the department chairperson recommends to the Dean of the Faculty candidates for tenure in the fall.
 - b. The department chairperson invites the candidate to discuss the tenure process during the spring or summer prior to the candidate's tenure application.
 - c. After considering the candidate's personal statement but no later than October 10, the department chairperson provides the Dean of the Faculty with a written statement on the candidate's behalf. The chairperson's written statement must address the need and performance criteria and be based in part on classroom visits arranged in advance with the candidate.
 - d. The department chairperson meets with the Promotion and Tenure Subcommittee after all materials have been submitted but before final deliberations have begun.

iv. The Dean of the Faculty is responsible for the following:

- a. Using the list of potential outside reviewers furnished by the candidate, the Dean of the Faculty solicits several external letters (usually at least 4) to be received by the Dean's office by October 10.
- b. The Dean of the Faculty, in consultation with the candidate, generates a summary sheet of the following items:
 - Courses taught by the candidate, including enrollments and GPA.
 - Independent studies and senior theses supervised.
 - College committee assignments.
 - Number of current advisees.
 - Any special projects or other relevant information not included on the *vita*.The summary sheet is furnished to the candidate and the subcommittee by October 10.
- c. Early in the fall semester, the Dean of the Faculty solicits written opinions employing the need and performance criteria from all tenured colleagues in the department and/or interdisciplinary programs in which the candidate has worked. These letters are to be based in part on classroom visits arranged in advance with the faculty member and are due to the Dean's office by October 10.
- d. Early in the fall semester, the Dean of the Faculty solicits written reports from those faculty members who chaired college committees at the time the candidate served on the committee. Letters by college committee chairs are due to the Dean's office by October 10.
- e. Early in the fall semester, the Dean of the Faculty solicits written opinions about the candidate's teaching effectiveness from each member of the relevant departmental or interdisciplinary Student Academic Advisory Committee. Letters by the Student Academic Advisory Committee are due to the Dean's office by October 10.
- f. The Dean of the Faculty makes the candidate's student evaluations available to the Promotion and Tenure Subcommittee.

The Promotion and Tenure Subcommittee may ask the Dean of the Faculty, the department chairperson, outside evaluators (regarding the quality of the candidate's scholarship), or the candidate for additional material it deems necessary, as long as it informs the candidate of the nature of the request. The candidate may also submit additional material without request at any point before final deliberations have begun. A record shall be made of all data considered by the subcommittee, and all materials shall be kept for at least two years.

After the material has been initially reviewed, but before final deliberations have begun, the chairperson of the Promotion and Tenure Subcommittee invites the candidate to meet with the subcommittee. In addition to meeting with the candidate, normally the subcommittee also meets with the candidate's department chairperson on a separate occasion.

After careful review of all materials submitted, the Promotion and Tenure Subcommittee takes a vote which is held in confidence. For purposes of this vote, the subcommittee consists of four members with equal votes – the three elected members of the Promotion and Tenure Subcommittee plus the Dean of the Faculty. A recommendation for tenure is made to the President if a strict majority of the subcommittee votes affirmatively. In accordance with the Bylaws, the President in turn makes a recommendation to the Board of Trustees for a final decision. Candidates must be notified of the President's acceptance or rejection of the subcommittee's decision by December 1 unless extenuating circumstances make that impossible.

In the event that the subcommittee does not recommend the candidate for tenure, the candidate, upon request, has the right to a written statement from the subcommittee regarding the reasons for its decision.

Tenure becomes effective at the beginning of the academic year following that in which the candidate was granted tenure by the Board of Trustees.

7. Promotion

(Approved by Board of Trustees, October 22, 1977; amended Board of Trustees, January 19, 1980; May 10, 1985; March 3, 2004.)

Faculty members to be considered for promotion to Associate Professor or Professor are brought to the attention of the Promotion and Tenure Subcommittee only by their department chairpersons or the Dean of the Faculty. A recommendation for promotion does not by itself entail a recommendation for tenure.

a. Timing of Promotion

Promotion from Instructor to Assistant Professor is automatic upon completion of all the requirements for the doctorate, as certified by the appropriate authority at the degree-granting institution.

Ordinarily, promotion from Assistant Professor to Associate Professor is made after six years of countable service with the doctorate or appropriate terminal degree and after four years of countable service at Lake Forest College. Although time in rank is a consideration, in individual cases the time between hiring and promotion may be longer or shorter than six years, depending on the candidate's performance as compared with that expected for promotion of a faculty member who began teaching without previous experience at Lake Forest College, but with the doctorate or appropriate terminal degree. Promotion of full-time faculty whose teaching responsibilities are half the normal course load or less than half will not ordinarily occur at the same rate as that of other teaching faculty.

There is no time schedule for promotion to the rank of Professor, although ordinarily the consideration occurs no sooner than in the sixth year of tenured appointment. Early promotion decisions will entail even more rigorous application of the criteria than is normally the case.

b. Criteria for Promotion

Criteria for promotion from Assistant Professor to Associate Professor are identical to those listed under "Performance Criteria for Tenure."

Promotion to full Professor represents a reinforcement of the life-long commitment made with the granting of tenure. Such reinforcement must reflect substantial additional accomplishment, actual and potential. To be recommended for promotion to Professor, the candidate must therefore meet the following criteria:

Teaching. Evidence of continued high performance and growth in teaching competence, an ability to engage students in research as indicated by their accomplishments in independent studies and senior projects, an ability to attract students to some courses, and a willingness to meet the diverse teaching responsibilities of the department and the College.

Scholarship. A demonstration of the completion of a substantial increment of scholarly or appropriate creative work, over and above that which was known and taken into account at the time the decision was made to hire or promote to the Associate Professor rank.

Service. Continued active participation in and contributions to the College in its governance, on-campus cultural programs, or some other formal extra-curricular activities.

While primary emphasis is given to the above criteria, consideration will also be made of the other items mentioned under "Performance Criteria for Tenure."

c. Procedures for Promotion Consideration

Procedures for promotion consideration are identical to those listed under "Procedures for Tenure Consideration" with these provisos:

- i. Materials should be submitted by January 10.
- ii. For a person being reconsidered for promotion in a subsequent year, some of the material need only be updated in accordance with stipulations by the candidate, the department chairperson, or the subcommittee.
- iii. Candidates should be notified of the President's acceptance or rejection of the subcommittee's decision by no later than March 1.
- iv. Candidates not being promoted should be informed by the Dean of the Faculty in writing of the reasons why the subcommittee did not recommend promotion, so that they know in what areas to work in order to enhance their future candidacy.

8. Voluntary Relinquishment of Tenure and Employment

(Approved by Board of Trustees, December 7, 1996.)

Lake Forest College offers a substantial benefit for qualifying tenured faculty members who decide voluntarily to relinquish tenure and leave the institution. Such a policy provides flexibility for both the individual and the College.

a. Qualifications

To qualify, a tenured faculty member must meet the following requirements:

- i. Age: 52 to 61 years as of the end (31 May) of the last year of service.
- ii. Service: at the time of notification, 10 years of countable service to the College as defined by the Faculty Handbook.
- iii. Notification: in writing to the Dean of the Faculty by December 1, 18 months prior to the start of the fiscal year in which relinquishment begins.
- iv. The faculty member cannot have been on sabbatical or leave of absence the year prior to relinquishment.
- v. It is not the intent of this policy to apply to full-time administrators with tenure.

b. Benefit

- i. The tenured faculty member will receive payment determined on a sliding scale, based upon the appointment salary (not total compensation) of the final year of service.

Age		2.0	times	salary
52		2.0		
53		1.9	"	"
54		1.8	"	"
55		1.7	"	"
56		1.6	"	"
57		1.5	"	"
58		1.4	"	"
59		1.3	"	"
60		1.2	"	"
61		1.1	"	"

Faculty may elect to receive these payments over 24 months. The first payment will be made no sooner than the last regularly scheduled salary check. The College will contribute a sum equal to ten percent of the designated payment to the College's TIAA-CREF retirement plan for faculty.

- ii. In addition, the tenured faculty member will receive a lump sum payment equivalent to twice the amount the College contributes for that individual member's health insurance premium during the final year of service, conditional upon execution of appropriate waivers.
- iii. A maximum of two (2) tenured faculty members shall be permitted to qualify for the benefits of the Plan in each year. A maximum of four (4) tenured faculty members shall be permitted to qualify for the benefits of the Plan during the first three (3) years immediately following the effective date of the Plan. If the number of applicants for the benefits of the Plan in any year exceeds the maximum limits, then priority will be given to faculty members with the largest sum of their age and length of countable service with the College.

The College reserves the right to amend, modify, revoke, or terminate all or any part of this plan at any time.

9. Retirement of Faculty

a. Retirement Age

The following policy on retirement was adopted by the Board of Trustees, January 20, 1979, (amended October 5, 1985; January 1, 1989) in the light of new federal guidelines:

- i. Normal retirement age for faculty who have been granted tenure is herein defined as the last day of the appointment year in which age 65 is attained.
- ii. Normal retirement age for other employees is defined as the last day of the appointment year in which age 65 is attained.

b. Voluntary Retirement Incentive Plan

The following "Voluntary Retirement Incentive Plan for Highly Compensated Faculty and Administrative Staff of Lake Forest College" was adopted by the Board of Trustees on December 14, 1985, effective as of January 1, 1986, and amended effective June 1, 1990:

The normal retirement age for faculty and administrators at Lake Forest College has long been age 65. This age has suggested the retirement benefits of the College and has also guided plans made by individuals and their spouses. In recent years two factors have, however, impacted this situation.

- i. The mandatory national retirement age was changed from age 65 to age 70, and has subsequently been uncapped completely. This suggests to some that they may wish to work beyond age 65 to age 70, and even longer.
- ii. Actuarial tables continue to project increased longevity for individuals, and yet the costs of living longer are significant as well, particularly in terms of health insurance and housing. Thus, there is another incentive to work beyond age 65.

The College views the likely trend to continue working beyond 65 as sometimes unhappy for the individuals and also for the institution itself. An individual who has committed himself/herself to this College for a number of years, and in many cases to his or her academic discipline for even longer, surely deserves to retire by age 65 and to enjoy the opportunity such retirement affords for

leisure, recreation, and independent scholarship. And the institution, while valuing greatly the contributions of its senior faculty members and administrators, benefits also from the intellectual stimulation of younger faculty, recently graduated from distinguished graduate schools where they were often the recipients of new scholarship and different methods of teaching, and of administrators, too, drawn from other positions and experiences.

In view of these circumstances and without any intention of discriminating in any way against its older employees, the College, as of January 1, 1986, instituted the Retirement Incentive Plan as of January 1, 1986. Eligibility to receive benefits under this plan was open to those faculty members and administrators who would have taught or worked at the College full-time for twelve or more preceding years and who would wish to retire by age 65. Such eligibility required one additional year of service each year until January 1, 1990, when the individual concerned would have been required to work at the College full-time for fifteen or more preceding years.

Recently enacted federal legislation has required the revision of eligibility rules. Therefore, effective as of June 1, 1990, the eligibility rules have been revised. Eligibility to receive a benefit under the Plan will be limited to full-time faculty and administrators who meet the following criteria:

- i. Attainment of age 50;
- ii. Annual gross earnings from Lake Forest College of at least \$50,000; and
- iii. Attainment of at least five years of full-time service for the College.

In addition, those faculty members and administrators who as of June 1, 1990, had attained aged 62, regardless of salary, are also eligible to participate in the plan.

Once an employee is eligible, the employee will actually qualify for benefits under this plan if he or she retires between ages 62 and 65 after working for the College full-time for fifteen or more preceding years.

This plan offers a faculty member or administrator who qualifies for benefits under the preceding two paragraphs one of four options, as follows:

- i. Single Cash Contribution--Lump Sum: The College will make a single retirement contribution equal to the salary in the last year of full-time employment for those retiring between age 62 and age 65. This payment will be made at the time of the regularly scheduled last salary check. The purpose of this option is to provide funds perhaps necessary for the purchase of a home, and to allow for travel and relocation expenses if appropriate.
- ii. Cash Contribution--Spread over Twelve or Fewer Months: For those retiring between age 62 and age 65 the College will make a cash contribution equal to the salary in the last year of full-time employment as with the Single Cash Contribution, but in this option spread it over twelve or fewer monthly installments (thus, during two tax years) with the first payment one month after the regularly scheduled last salary check.
- iii. Single Retirement Contribution--Tax Deferred/Lump Sum: The College will make a single retirement contribution, equal to the salary in the last year of full-time employment for those retiring between age 62 and age 65, to the retiree's retirement account. Because of federal regulations related to deferred income, if such a sum exceeds the amount that can legally be placed in the individual's retirement account the difference will be paid to the retiree in a lump sum. Such payment shall be made at the time of the regularly scheduled last salary check.
- iv. Retirement Contribution--Tax Deferred/Twelve Month Payment: The College will make a single retirement contribution, equal to the salary in the last year of full-time employment for those retiring between age 62 and 65, to the retiree's retirement account. If that sum exceeds the limit allowed by federal regulations the difference will be paid to the retiree over twelve monthly installments starting one month after the last regularly scheduled salary check.

For those retiring under the terms of this plan, the College will provide regular health insurance at the appropriate single or family benefit level until a retiree reaches 65, and Integrated Medical Insurance (integrating Medicare) to age 70; further, once the employee is 65, it will make regular health insurance at the appropriate benefit level available, *at cost*, to the retiree's spouse to age 65, and integrated insurance thereafter, *at cost*, until the retiree or the spouse turns 70. This insurance program responds to a major concern of those who wish to retire at or near age 65. In the event the retiree dies prior to age 70, or reaches age 70 prior to spouse reaching age 65, the retiree's spouse shall be eligible to participate in the health insurance program *at cost* until age 65. Under no circumstance does the College intend to provide insurance to either the retiree or spouse beyond age 70. Obtainment of Medicare Part B insurance at age 65 is required. Under current law if such insurance is secured prior to age 65, pre-existing conditions are not considered. After age 65 pre-existing conditions are a consideration. Obtainment of "Medigap" or Medicare supplemental insurance beyond age 70 is the responsibility of the retiree or spouse and may be subject to the same pre-existing condition restrictions as Medicare.

The College will continue to offer to retired faculty insofar as possible space to study on this campus, and intends to make available computer accessibility and limited secretarial services as well. Such individuals can offer much to the College through participation in the life of the College, and those contributions should and will be encouraged.

These options are made available to eligible members of the faculty and administrative staff to encourage them to consider voluntarily retiring from active teaching and administrative duties at the College before or at age 65, in accordance with retirement expectations and practices and in recognition of what has often been a life-time of dedicated service to academic life. An option is available only after timely notification to the Dean of Faculty or the President, as appropriate; in all cases, the College must be notified by November 1 of the appointment year in which the retiree turns 65 or at the end of which he/she wishes to elect one of the retirement incentive options.

The College reserves the right to amend, modify, revoke, or terminate all or any part of this plan at any time. (See figures 1 & 2 for details?)

c. Voluntary Phased Retirement Policy
(voted by the Faculty on April 2, 2008)

Faculty members may elect to take the Voluntary Retirement Incentive Plan, or Voluntarily Relinquish Tenure and Employment, or Voluntary Phased Retirement, but may not combine any of these options.

Rationale:

- To provide flexibility and options to professors approaching or at traditional retirement age.
- To ease professors' transition from full employment to full retirement.
- To provide continuity to students, departments and programs through long range planning.
- To provide advantage to the College in keeping excellent and experienced faculty connected to students, department and programs.
- To enable the College to bring in new faculty without necessarily waiting for full retirements.

Eligibility and Terms:

Eligible persons are tenured, teaching faculty, with at least ten years of service, between the ages of 62 and 67.

Professors, departments and department chairs, in consultation with the Dean of Faculty, are encouraged to think creatively and flexibly about how to best serve needs of professors, departments, students and the College. After consulting with the Dean of Faculty, by July 1 a year before phased retirement would commence, faculty members should submit to the Dean of Faculty a proposal for phased retirement; at the same time program or department chairpersons must also submit a plan as to how the program or department plans to accommodate the faculty member's half-time status.

The phased period will be for one, two or three years, as determined by the initial application and approval. Normally, phased plans may not be altered once they commence.

At the end of the phased retirement period, the faculty member will be completely retired and will relinquish tenure, but enjoy the status and privileges of emeriti professors. Should a retired professor and the College find it mutually desirable for the professor to continue to teach, such teaching will be in adjunct capacity only.

During phased period, the faculty member will maintain half the workload: normally that means three courses and a reduced advising and committee load. The faculty member will not serve as department chair or serve on elected committees. No sabbaticals will be awarded during the phased period. While full-time professors have first claim on lab and research space, such space may be assigned to phased professors if available. Office space will be provided.

Initial salary in the phased period will be 55% of the last year of full service. Faculty on phased retirement and their dependents are eligible for the College's group health insurance with the same benefits as full-time employees. The health insurance deductions for health insurance coverage will be based on the phased retirement salary levels. At this time, life insurance and long-term disability salary continuation are not eligible benefits for faculty participating in the phased retirement plan.

Faculty on phased retirement at the half-time FTE or greater are eligible for the College's TIAA-CREF Retirement Plan contribution provided those faculty have not annuitized their retirement plan contracts and begun drawing retirement income from TIAA-CREF. Faculty on phased retirement who have begun drawing retirement income from TIAA-CREF are not eligible for the College's retirement contribution.

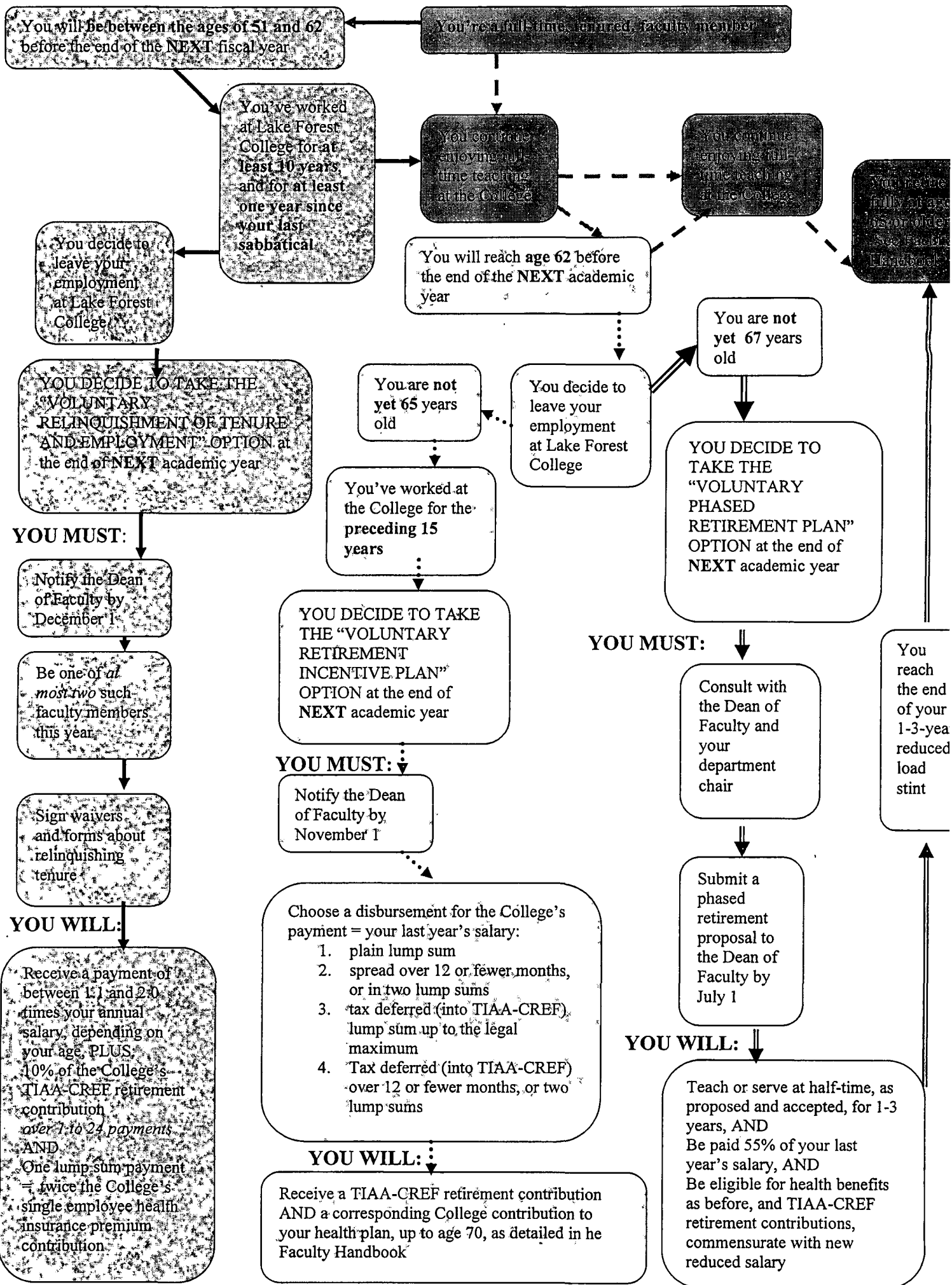
Administration:

This policy must be cost neutral to the College, therefore phased retirement applications may be denied or delayed should the President deem it financially necessary. Should a phased retirement plan not be conducive to department or College needs, the Dean of Faculty may deny or delay applications.

Upon the adoption of this proposal, any faculty members over the age of 67 but otherwise eligible for the phased program may apply no later than July 1, 2010.

The College reserves the right to amend, modify, revoke, or terminate all or any part of this plan at any time.

(See Figures 1 & 2 for questions)



RETIREMENT OPTIONS:

YOU ARE AGE:	YOU MAY BE ELIGIBLE (with 10 years of service) FOR:	YOU MAY BE ELIGIBLE (with 15 years of service) FOR:	YOU MAY BE ELIGIBLE FOR:	YOU MAY BE ELIGIBLE FOR:
	VOLUNTARY RELINQUISHMENT OF TENURE, (see SECTION I.B.7)	VOLUNTARY RETIREMENT INCENTIVE PLAN, (see SECTION I.8.b)	VOLUNTARY PHASED RETIREMENT, (see SECTION I.8.c)	RETIREMENT, (see SECTION I.8.a)
52-62	X			
62-65		X	X	
65-67			X	X
Over 67				X

Figure 2

d. Emeriti Professors

Emeriti professors will retain full faculty rights and privileges exclusive of tenure, salary, direct financial benefits, committee membership and the vote. It will be the obligation of the Dean of the Faculty to make appropriate arrangements for the emeritus professor's access to College facilities and events. Among these rights and privileges will be included the following: the use of office space and laboratory facilities when available; free use of the library and sports and Recreation center facilities; a faculty mailbox if requested; attendance at College-sponsored academic, social and athletic events under conditions accorded all faculty; membership in College-associated organizations; attendance at faculty meetings; a listing in the staff directory; and participation in commencement ceremonies.

C. RESIGNATION, TERMINATION, GRIEVANCE, SEXUAL HARASSMENT

1. Resignation

(Policy passed by Board of Trustees, October 22, 1977, as part of revised policy on Tenure and Promotion)

Faculty members considering offers from other institutions are expected to abide by the standards recommended by the Association of American Colleges and the American Association of University Professors, printed in the March 1961 issue of *Liberal Education* and summarized as follows:

Negotiations for appointment of faculty members employed at other educational institutions should be begun and completed as early as possible in the academic year prior to employment. It is desirable that Lake Forest College faculty members approached with regard to another position inform the Dean of the Faculty when such negotiations are in progress. Faculty members accepting an appointment elsewhere should promptly notify the Dean and the President.

Resignations to accept other employment must be submitted no later than May 15, except in emergency or hardship cases for which the faculty member may ask the administration to waive this requirement. To make due consideration and timely notice possible, institutions are not to make appointing offers to continuing faculty after May 1.

Unless the College agrees, faculty members may not leave and should not be solicited by other institutions to leave their positions during an academic year for which they hold an appointment.

These provisions apply to all members of the faculty.

2. Termination

a. Termination of Employment of Non-Tenured Faculty

(Amended February 22, 1992)

Except for terminations and dismissals for cause (see below), termination of employment of teaching faculty on two- or three-year appointments or on a continuing appointment prior to that resulting from a recommendation by the Third-Year Review Committee comes about when the Dean of the Faculty, in consultation with the chairperson and other tenured members of the department, deems that termination is dictated by the academic needs of the department or the College; or when the Dean, upon recommendation by the department chairperson, judges that the faculty member's performance has been less than adequate.

Termination resulting from a recommendation by the Third-Year Review Committee is based on grounds either that the needs of the department and/or College would best be served by such termination or that the faculty member has not met the performance criteria for continuation.

Except for terminations and dismissals for cause (see below), termination of employment of teaching faculty on a continuing appointment after the Third-Year Review but prior to the year appropriate for tenure consideration can be based only on changing College needs which require reduction in faculty size or departmental allocations. Prior to deciding on such termination, the President is to consult with the faculty member's department chairperson and with the Faculty Personnel Policies Committee.

Faculty members who are considered for but denied tenure or who are not recommended for tenure consideration in their sixth year of countable service are given a terminal appointment for the following year. Such a terminal appointment will remain in effect even if the faculty member requests and is granted a leave or part-time status for part or all of that year.

In the case of full-time faculty members ineligible for tenure (e.g., administrators, librarians, physical educators, and teaching faculty with half-time or more administrative duties), termination comes about after the President, in consultation with the Faculty Personnel Policies Committee, deems that termination is justified by a change in the needs of the College; or after the President, upon recommendation by the faculty member's supervisor, judges that the faculty member's performance has been inadequate.

In the case of part-time faculty, termination can occur before the end of the faculty member's appointment period, if the Dean of the Faculty, in consultation with the department chair and the chair of the Faculty Personnel Policies Committee, determines that the faculty member's performance has been markedly deficient. Before the decision to terminate has been reached, the Dean will meet with the faculty member.

Faculty members whose employment is terminated are entitled, if they make the request, to a letter from the President or Dean of the Faculty stating the reasons for such termination.

In all cases of terminations or dismissals for cause, procedures described in "Termination of Employment of Tenured Faculty" apply.

b. Notice of Termination for Non-Tenured Faculty

Faculty members who have been in the employ of the College for less than one year will be notified no later than March 1 of that academic year that they will not be reappointed for the following year.

Faculty members who have completed at least one year of service in the employ of the College will be notified no later than July 1, and preferably earlier, that they will not be reappointed after the end of the academic year following the notification.

These provisions do not apply to faculty members holding full-time administrative positions (deans, registrar, admission directors); their termination notices accord with guidelines stated in the *Administrative Personnel Handbook*.

c. Termination of Employment of Tenured Faculty

Termination of an appointment with continuous tenure, or of a continuing or terminal appointment prior to the end of the specified term, may be effected by the College only for adequate cause. Such terminations will be specified as either a termination for cause or a dismissal for cause.

i. Termination for Cause

Termination for cause can be made only on the basis of financial exigency, discontinuance of a program or department not mandated by financial exigency, or medical reasons.

For provisions and procedures governing termination for cause, the College will use as guidelines the 1976 Recommended Institutional Regulations on Academic Freedom and Tenure printed in the summer, 1976, *AAUP Bulletin*, pp. 186-187, with the following provisos for implementation at Lake Forest College:

In the decision to discontinue formally a program or department of instruction, the Trustees will give major attention to educational considerations recommended by the Academic Resources and Review Committee and by the faculty as a whole.

The College Council is to be consulted in any decision by the Board of Trustees that a condition of financial exigency exists or is imminent. After consultation with the Academic Resources and Review Committee, the Promotion and Tenure Subcommittee, employing accepted standards of due process, should assume primary responsibility for recommending the status of individual faculty members.

ii. Dismissal for Cause

Dismissal for cause can be made only on the basis of professional incompetence or moral turpitude.

Dismissal for cause must be preceded by (1) discussions among the faculty member, the department chairperson, the Dean of the Faculty, and the President; (2) informal inquiry by an ad hoc committee appointed by the Faculty Personnel Policies Committee, which may determine whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the President; (3) a statement of charges, framed with reasonable particularity by the President or the President's delegate.

If a statement of charges is presented to the faculty member and the faculty member wishes to contest it, a formal hearing will be held. The hearing committee will consist of all members of the Promotion and Tenure Subcommittee of the Faculty Personnel Policies Committee. In the case of a member of the PTS being considered for dismissal or other members deeming themselves disqualified for reasons of bias or interest, places on the hearing committee will be taken by former members of the PTS in order of the recency of their service.

Except when inconsistent with the provisions of this policy, provisions and procedures governing the hearing are those articulated under "Dismissal Procedures" in the Recommended Institutional Regulations on Academic Freedom and Tenure printed in the summer, 1976, issue of the *AAUP Bulletin*, pp. 188-189. After the hearing, formal dismissal can be made only by the Board of Trustees, upon recommendation by the President.

d. Physical Education Faculty

(Approved by the Board of Trustees on April 8, 1972)

Lake Forest College is committed to a concern for all aspects of the lives of its students, their bodies as well as their minds and characters. Toward that end, the College maintains a program of physical education, designed to provide physical fitness and certain skills in sports. The College also sponsors a wide variety of intramural and intercollegiate activities, which are seen as opportunities for students in recreation and in learning. The College believes, in short, in amateur athletics for professional students.

The physical education staff is employed and retained with a view toward serving students in the ways suggested above. Members of the staff, though not eligible for tenure, since that is a practice designed to assure the academic freedom of the classroom teacher, may anticipate reappointment provided that program needs justify such appointment and as long as they continue to promote in a satisfactory manner those sports which the College sponsors, and continue to assist students to develop physical fitness and athletic skills. If there is dissatisfaction with their performance (e.g., ineffective coaching, lack of personal leadership, inadequate skill and/or effort), their services might be terminated. Due notice would be given in such an instance, following the procedure of I, C, 2, b. Members of the physical education staff would be subject to an annual review (a practice which is also followed with regard to faculty appointments and renewals).

3. Grievance

(Approved by Board of Trustees, September 29, 1984, amended by faculty vote December 3, 1997.)

a. Summary Conditions and Procedures

A faculty member who feels cause for grievance is expected to try to resolve the grievance by conferring with the person or persons against whom the faculty member has a complaint. If the matter cannot be thus resolved, the faculty member may petition the faculty Grievance Committee (hereinafter GC) for a recommendation concerning the following matters:

- i. denial of tenure or promotion, termination of employment of non-tenured faculty, or termination of employment for cause (not dismissal for cause);
- ii. salary, assignment of teaching duties, assignment of space or other facilities, assignment of committee responsibilities, or similar results of administrative decisions;
- iii. alleged disability discrimination.

A faculty member who feels cause for grievance on the basis of a disability discrimination which denies the member participation in or benefits of a College program or activity, in accordance with Section 504 of the Rehabilitation Act of 1973, should first present the grievance in writing to the Assistant to the President. Failing resolution, the matter can then be referred by the petitioner to the GC.

b. Composition of the Grievance Committee

The GC, elected each year by the faculty, consists of three members and one alternate member. Eligible candidates must be tenured and may not be administrative officers, members of the Faculty Personnel Policies Committee, or faculty absent from the campus during part or all of the academic year because of leave status or academic responsibilities. The alternate serves in case a petitioner is a member of the same department as a regular GC member or in other cases of conflict of interest or practicality as determined by the GC.

Early in the academic year the Dean of the Faculty should send to the faculty a ballot listing eligible candidates. Each faculty member may vote for up to three candidates. Names of the six receiving the larger number of votes will appear on a second ballot, from which each voter may pick up to three names. Elected members of the GC are those personnel with the higher number of votes, the fourth highest serving as alternate.

c. Petitions

Petitions presented to the GC should set forth in detail the nature of the grievance and should state against whom the grievance is directed.

d. Grievance Committee Procedures

The GC normally functions without a chairperson, members mutually agreeing on administrative details. Decisions are made by majority vote, but minority views may be expressed in the final recommendation.

The GC is responsible for making a tentative judgment on the relative merit of a petition. If, after initial consideration or at any time in subsequent investigations, negotiations, or deliberations, merit is found lacking, the GC may deny the petition. The decision and supporting reasons are to be furnished in writing to the petitioner, who then has no recourse within the College.

If the GC wishes to investigate the matter after initial consideration, it should convey the substance of the petition to the party against whom the petition is lodged and request a written response. The GC may seek additional information from the petitioner and from other relevant sources. It may also seek a settlement of the issue satisfactory to the parties. If the GC believes such a settlement is not possible or is not appropriate, and if it believes that there is merit in the petition, the following principles and procedures apply:

- i. In connection with grievances under a.i. above, the purview of the GC is restricted to procedural issues and therefore excludes consideration of substantive judgments of whether the petitioner merits tenure, promotion, or continued employment. In connection with grievances under a.ii. and a.iii. above, the GC is to weigh all relevant factors as presented by

the petitioner and respondent(s) and otherwise discovered in its investigation. GC concerns should be guided by questions such as these: Was faculty policy followed? Was the decision conscientiously arrived at? Was appropriate evidence bearing on the decision sought out and considered? Was there adequate deliberation over the import of the evidence in the light of relevant standards and/or other concerns? Were irrelevant or improper standards or concerns excluded from consideration?

- ii. A GC finding of some merit in the petition takes the form of a recommendation of reconsideration, sent to the appropriate person(s), with a copy to the petitioner. The person(s) against whom the petition is lodged is thereby required to make a formal reconsideration, giving serious attention to, but not being bound by, the case as presented by the GC, and responding in writing to the GC and to the petitioner.

4. Sexual Harassment Statement

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

(Following approved by Board of Trustees, December 13, 1986, amended on September 1, 1987, Spring Semester 1998, and March 7, 2007)

a. Policy

Sexual harassment is a form of sexual discrimination and is contrary to the policy of Lake Forest College. It is our policy to maintain the College community as a place of work and study for staff, faculty, and students, free of sexual harassment. The violation of this policy by members of the College community and third parties who serve the College community can result in discipline and discharge for employees; discipline and dismissal of students; and such penalties, sanctions, and impositions against other individuals or parties as may be available to the College, given the nature of the contractual or business relationship that may be established with such parties or individuals.

Individuals who believe that they have been harassed as defined below have recourse to formal and informal grievance procedures through the Sexual Harassment Hearing Board.

b. Definition

Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors, and other speech and physical conduct of a sexual nature, without regard to whether the parties are the same or opposite gender when:

- (1) Submission to such conduct or communication is made either explicitly or implicitly a term or condition of an individual's employment or academic status, or is used as the basis for employment or academic decisions affecting the individual,
- (2) Such conduct directed at an individual persists despite its repeated rejection, or
- (3) Such conduct or communication has the purpose or effect of substantially interfering with the individual's work, academic performance, or housing, or of creating an intimidating, hostile, or offensive working or educational environment.

An offensive or hostile environment will be judged to exist only where the offensive conduct continues over a period of time; a single or isolated instance is insufficient to establish a valid "offensive environment" claim. Similarly, a person's subjective belief that behavior is offensive,

intimidating, or hostile does not necessarily make that behavior sexual harassment. The conduct complained of must be offensive to a reasonable individual in the same or similar working or study environment. Specifically, the conduct complained of must be examined from both a subjective and objective viewpoint, meaning that the harassment must have been perceived by the individual as creating a hostile environment as well as being severe or pervasive enough that a reasonable person in the same or similar working environment would find the conduct hostile or abusive.

Lake Forest College's policies regarding sexual harassment are intended to protect members of the College community from sex discrimination, not to regulate the content of speech. The College recognizes that the offensiveness of particular expression as perceived by some individuals, standing alone, is not a sufficient basis to establish a claim of sexual harassment. Moreover, in regulating the conduct of its students, staff and faculty to prevent or redress harassment, the College must formulate, interpret, and apply its rules so as to protect academic freedom and free speech rights.

c. Composition of the Board

The Sexual Harassment Hearing Board (SHHB) is composed of:

- (i) Two faculty members, appointed by the President in May for staggered three-year terms,
- (ii) Two students, appointed annually by the President in May for the following academic year,
- (iii) Two exempt administrative staff members, appointed by the President in May for staggered three-year terms,
- (iv) Two non-academic, non-exempt staff members, appointed by the President in May for staggered three-year terms, and
- (v) One alternate member from each constituency above, appointed annually by the President in May, for the following academic year.

Before making these appointments, the President shall inform his or her decision by consultation with the Faculty Personnel Policies Committee, the Officers of Student Government and the Officers of the Employee Advisory Representatives Committee. The Chair of the Sexual Harassment Hearing Board, who does not vote at hearings, will be appointed annually by the President from among the members of the Board and will be apprised of the other appointees to the Board at that time.

In any particular case, the voting members of the Hearing Board must include two from the same constituency as the accused; thus, in any case in which the accused and the Chair, who does not vote, are from the same College constituency, the alternate member from that constituency will serve as a voting member of the Board. Thus, there will be seven voting members of the board, except in the case where the Chair and the accused are from the same constituency above; in this latter case, the alternate from that constituency will be called in to vote, and there will be eight voting members of the Board, plus the Chair.

In cases of conflict of interest for a member of the Board in a particular case, the alternate member from the same constituency will serve in that case, or the President may appoint a substitute from the same constituency.

d. Procedures

Any individual member of the Lake Forest College community who believes that he or she has been sexually harassed as defined above, or who is unsure how to interpret what he or she thinks may be harassment, should consult with the Chair of the Sexual Harassment Hearing Board. After consultation, the individual may decide: (1) not to go forward with a complaint, (2) to bring a complaint forward for informal resolution, or (3) to bring a formal complaint to the Board.

A complaint of sexual harassment must be initiated as soon as possible, but no later than 180 days, after the alleged harassment has occurred, in order to ensure a fair and prompt resolution. The SHHB Chair will provide information about the procedures and their possible outcomes.

All complaints and proceedings regarding a case of sexual harassment will be kept in the strictest confidence throughout and after the processes of consultation, mediation, and hearing of any complaint of sexual harassment. All members of the SHHB, the complainant, the person complained against, and any counsel to the parties from the college community (see below) must sign statements to this effect: no names or identifying details of any case will be shared with any person other than the parties, members of the SHHB, the College Officer who oversees the constituency of the respondent, the President, and others designated by the President. If it seems appropriate for an officer of the College or a member of the board to discuss a complaint with other members of the community, he or she may do so, with the approval of the board.

Records of sexual harassment complaints and the investigation of those complaints, including recordings of hearings, will be retained by the Chair of the SHHB, and transferred to each succeeding chair, on a confidential basis. As a part of the College's educational mission, the Chair will submit to the personnel or student file of the person complained against, a report of any complaints against them, including whether the complaint was dismissed, mediated, or heard, and the basic substance of any complaint heard. The College Officer who oversees the constituency of the respondent will at that time invite her or him to submit to her or his file a response to the report, and may discuss the complaints and advise the person complained against, as the College Officer sees fit.

e. Informal Mediation

Informal mediation is an option for the complainant to pursue before deciding whether or not to file a formal complaint of sexual harassment.

In the event that informal mediation is desired, the complainant must select a member of the Board to act as mediator between the parties. A board member who considers himself or herself unsuitable to act as a mediator shall identify another member of the board to serve as mediator.

A person seeking mediation must agree to be identified to the person against whom the complaint is lodged. The mediator shall begin mediation efforts promptly.

A mediator may also discuss a case with other members of the Board, the Chair of the Board and/or with the appropriate Officer of the College ((the College Officer who oversees the constituency of the person complained against), although only with the consent of the complainant, and will identify the respondent only if the complainant agrees to be identified as well.)

If mediation is not pursued or if mediation does not resolve the issue to the satisfaction of the parties, then the complainant may lodge a formal complaint with the Sexual Harassment Hearing Board.

f. Formal Complaints

Individuals who wish to lodge a formal complaint must do so as soon as possible, but no later than 45 days, after the mediation concluded or after an informal complaint has been made to a member of the Sexual Harassment Hearing Board, in order to insure both parties a fair and prompt hearing.

A person who wishes to lodge a formal complaint should contact the Chairperson of the Sexual Harassment Hearing Board. A formal complaint must be made in writing and be accompanied by a signed statement detailing the complaint. The complainant shall submit the statement of complaint to the Chairperson of the Board, who shall give copies of it to the person complained against and to members of the Hearing Board.

When a formal complaint is filed, the person accused of sexual harassment will be invited to submit a written response to the Chair of the SHHB, within two weeks of being informed of the complaint. Responses submitted after that time will not be accepted by the Board. A formal reply from the accused is not required, however, and no adverse conclusions will be drawn if a formal reply is not provided. The Chairperson of the Board shall give copies of the response, if any, to the complainant, and to the other members of the Hearing Board. If the complaint has no merit as judged by the Board's objective standards and according to the definitions given in 4a above, the Board may refuse to investigate further, and the case is dropped.

If the Board considers the case to potentially have merit, the Chairperson shall next provide copies of the complaint, and response if there is one, to the appropriate College officer: a complaint against a student to the Dean of Students, a complaint against a faculty member to the Dean of the Faculty, and a complaint against another employee or a third party to the appropriate officer of the College. The officer may, upon request of either party, try to separate the working, living or academic arrangements of the complainant and the accused. The complaint will then receive a hearing as soon as possible.

g. The Hearing

If the Board considers the case to potentially have merit, the Chair of the SHHB will arrange a date and time for the hearing which allows time for all parties to prepare and which is consistent with the need for promptness of resolution in fairness to the parties. In all cases, the Chair shall have the authority to set a hearing date, which, in the absence of compelling circumstances, will be no later than 45 days following the submission of the complaint. The refusal of any party to attend the scheduled hearing date shall not result in a delay of the hearing.

The complaint shall be heard by the Sexual Harassment Hearing Board. The Chair does not vote.

At the hearing, either party has the right to be accompanied by and/or represented by a counselor of his or her choosing, who is a member of the College community; a counselor may advise the complainant or the accused, but may not participate directly in the hearing, nor may a counselor also serve as the party's attorney at law.

The Hearing Board shall interview the parties together so that there is an opportunity to discuss all allegations. The hearing will be recorded. The Hearing Board shall decide, call for, and study what further evidence or witnesses may be necessary before reaching a final determination.

Both parties shall have an opportunity to hear all witnesses and review all further evidence received by the Hearing Board. The Hearing Board shall retire to an executive session (unrecorded) to reach its determination as to the responsibility of the person against whom the complaint is lodged. For a finding of responsibility for sexual harassment, five of the seven (or eight) voting members must agree.

The Board will present its findings, including the breakdown of the vote, in writing as soon as possible after the conclusion of its deliberations, to each of the parties, and to the officer(s) of the College who supervises the individual(s) against whom the complaint is lodged.

h. Appropriate Discipline

If the Board finds that the person against whom the complaint has been lodged is responsible for sexual harassment, then the Board shall recommend a sanction, or a range of appropriate sanctions, to the appropriate College Officer.

Since, under c, above, the College Officer in charge of the individual who has been found responsible for sexual harassment will have been notified of prior incidents, (and as above, of the breakdown of the vote,) the College Officer who supervises the person found responsible for sexual

harassment may avail herself or himself of that information when determining a sanction.

After the sanctioning decision, the appropriate College Officer shall prepare a written statement outlining the action taken, and shall give copies of this statement to the complainant, the accused, and the members of the Hearing Board who heard the case.

Reports of sanctions will be kept among the personnel or student records of the person found to have committed sexual harassment.

i. Appeal

Either party may appeal to the President either the decision of the Sexual Harassment Hearing Board or the sanctioning decision of the College Officer. The President shall consider appeals only on the basis of: (i) procedural error, or (ii) inappropriate sanction. Substantive judgments of the SHHB will not be revisited.

j. Annual Report

At the beginning of each academic year, the board shall report on the previous year's activities. Its report shall include the number of individuals who came to the Board Chair for help during the past year, the number of requests for mediation, the number of formal complaints that were lodged, and the kinds of behavior that gave rise to complaints. The board shall submit its report to the President, who shall publicize it to the College community. The report shall not mention the name of any individual or identifying details of any case.

k. Sexual Harassment during an Internship

Lake Forest College has been advised by its attorneys that, in the event of sexual harassment during an internship, it is unlikely that the College would have the right to assert a claim against an employer. The individual student, even though not actually employed, may have a right to assert a tort claim action based on negligence of the employer to protect the student and may have a direct tort claim against the individual committing the harassment. Should a student face this situation, he or she may wish to seek the advice of his or her own counsel.

D. MISCELLANEOUS EMPLOYMENT REGULATIONS

1. Additional Employment

(Faculty Meeting, February 14, 1978; amended December 7, 1983)

A full-time faculty member may not accept regular employment outside Lake Forest College during the academic year without prior written consent of the Dean of the Faculty. Normally, permission to accept such employment will be given only if the work is in the interests of Lake Forest College. This policy is not intended to discourage a member of the faculty from receiving fees or honoraria for a limited involvement in activities such as consulting, lecturing, counseling, creating art works, stage performing, or writing, but is intended to proscribe continuing remunerative activities that do not benefit the College and that consume a significant amount of a faculty member's time during the academic year.

2. Use of Campus Facilities

(Board of Trustees, March 11, 1978)

College offices, laboratories, and classrooms may not be used to provide on-campus services to any person from whom payment to an individual is anticipated without the written consent of the Dean of the Faculty or the Vice President for Business Affairs, which must be renewed annually.

Faculty and staff of the College may not use College facilities or College personnel for any purpose in connection with a private counseling or clinical practice.

3. Leaves of Absence

Leaves of absence for up to one year will not ordinarily affect normal consideration of a faculty member for a salary increase or for promotion. If an exception to these policies is to occur, notice of such exception must be given to the faculty member in writing at the time the leave of absence is granted. For the policy regarding leaves of absence for non-tenured faculty, see I.D.5-8.

4. Sabbatical Leaves

(Board of Trustees, September 14, 1974; amended Faculty Meeting, March 6, 1979; amended Board of Trustees, May 6, 1988; February 17, 1989; Faculty Meeting, May 1, 1991; Board of Trustees, September 28, 1991; Faculty Meeting, May 4, 2011)

Teaching faculty at Lake Forest College are expected to put much time and energy into their work during the academic year—in teaching, course preparation, evaluation of student work, advising, committee service, and participating in the cultural and social life of the College. Typically they have only limited time for professional presentations, research, or creative projects except during summers and other times when classes are not in session. Given these expectations and demands, the College believes it is vital to provide sabbatical leave opportunity so that teaching faculty can renew their pedagogical enthusiasm, creativity, and commitment, and strengthen the body of work that they contribute to the College. That renewal might take various forms, depending on the individual, including, but not limited to the following: concentrated research aimed at peer-reviewed publication, exhibition, or other specific outcomes; a focus on creative work aimed at publication or performance; time dedicated to a major curricular or pedagogical advancement for the individual or department; or an opportunity to study a new field with a goal of enhancing College offerings or the student experience. The College will consider all plans that are thoughtful and detailed, provided they present a clear and realistic statement of anticipated benefits to the College. These benefits may accrue to the College's students, to a particular department or academic program, or to the prestige of the institution via individual faculty achievements.

I. Timing and Compensation

Normally only tenured members of the teaching faculty are eligible to apply for a sabbatical leave. Exceptions must be approved by the FPPC. As a general rule, and subject to the conditions stated below, faculty members are eligible for a half-year sabbatical after three full years of countable service or for a full-year sabbatical after six full years of countable service. Full-year sabbaticals may be taken for an academic year or a calendar year. Faculty are encouraged to propose calendar-year leaves when appropriate for a research project and/or when a calendar-year leave would help the department minimize the curricular burden of the faculty member's leave relative to an entire academic year. The timing and pay scale are the same for calendar-year and academic-year sabbaticals.

Service for faculty on half-year or calendar-year sabbaticals continues, even to elected committees, for any semester not on leave. While on leave, a faculty member serving on an elected governance committee is replaced by the person who received the second most votes.

- a. **First Sabbatical.** A faculty member who receives notice of tenure in the fall of his or her sixth year of service receives the rank of associate professor starting in the fall of the seventh year of service. In that year, the faculty member may apply for a sabbatical leave to be taken in the eighth year of service. For that application, the faculty member is eligible for a half-year sabbatical at full pay or a full-year sabbatical at 5/6 pay.
- b. **Subsequent Sabbaticals.** A full-year sabbatical taken in the seventh year of countable service since the previous sabbatical is associated with a 25% salary reduction for the entire academic year. A half-year sabbatical taken in the fourth year of countable service since the previous sabbatical is associated with a 25% salary reduction for the half-year the faculty member is on leave.
- c. **Countable Service.** For semester and academic-year sabbaticals, countable service toward the next sabbatical starts with the academic year following the sabbatical leave. For calendar-year sabbaticals, countable service begins after the academic year of the first semester of the sabbatical.

(For previously delayed sabbaticals, up to three years prior may be countable; see d. Delayed Sabbaticals, below for further explanation.)

- d. **Delayed Sabbaticals.** When the College or Department requests that a faculty member delay applying for a sabbatical or when a sabbatical application is accepted but the College or Department subsequently requests the faculty member delay taking the sabbatical, the period of delay may be included in countable service toward the next sabbatical. Alternatively, the faculty member can accept a lower reduction in salary while on sabbatical instead of applying the delay as countable service toward the next sabbatical.
 - i. Compensation in terms of countable service for the next sabbatical or a lower reduction in salary while on leave extends for at most 3 years.
 - ii. Except for newly tenured professors, and in the case where the faculty member who has his or her sabbatical delayed chooses a lower salary reduction to compensate for the delay instead of counting the delayed years toward his or her next sabbatical, a one-year delay is associated with a salary reduction of 1/6, a two-year delay is associated with a salary reduction of 1/12, and a three-year delay is associated with no salary reduction. All salary reductions apply to the time of the actual leave – twelve months for a full-year leave, six months for a half-year leave
 - iii. A newly-tenured faculty member has the choice to delay his or her first sabbatical leave for up to 2 years in exchange for a lower salary reduction. Specifically for a newly tenured faculty member, delaying a full-year leave by one year (so that the leave is taken during the third year of tenure) is associated with a salary reduction of 1/12, and delaying by two years is associated with no salary reduction. If the first post-tenure sabbatical leave is taken for a half year, the leave is at full pay.
 - iv. A faculty member can postpone a sabbatical application or ask to postpone a granted sabbatical leave. Except for a newly-tenured faculty member's first sabbatical, however, delay at the faculty member's request does not qualify either as countable years of service toward the next sabbatical or for a lower salary reduction while on leave.
- e. **Other Stipulations.**
 - i. All sabbatical leaves, regardless of previous delays, must be separated by at least three years of countable service.
 - ii. All faculty members are required to return to the College for at least one year of countable service to the College following a sabbatical leave.
 - iii. The College's contributions to an IRA account (TIAA/CREF) and to FICA, both of which are based on salary, are limited to that portion of the salary that is actually paid to the faculty member (exclusive of salary via an outside grant). All other benefits are paid in full.
 - iv. A good-faith effort to secure external support with the intention of helping the College defray the expense of a sabbatical leave is expected of all faculty members. When such pursuits are successful, 50% of any grant money paid to the faculty member after the faculty member's salary reduction has been replaced by the grant will be applied to the salary paid by the College. Grant-funded summer salary, up to 2/9 of the faculty member's academic-year salary, is exempted from this application against salary.
 - v. Ordinarily faculty members on sabbatical leave are not permitted to teach at another college or university. In unusual circumstances permission may be granted by the FPPC to allow such employment provided it is for not more than one-fourth time.

II. Materials

All sabbatical applications are expected to include the following:

- a. The candidate will provide a written sabbatical application that includes:
 - i. A description of the faculty member's previous sabbatical leave and most recent leave of any sort, including an accounting of years of countable service that justify the current timing of a sabbatical application and the salary reduction that is associated with the sabbatical request.
 - ii. A description of efforts taken to secure outside funding, and the outcome of those efforts, including a grant proposal (or a portion of a proposal – i.e., a cover page, abstract, and budget).

- iii. A description of academic accomplishments (research, teaching innovation, advising, and service) since the faculty member's most recent sabbatical. In addition to emphasizing particular scholarship accomplishments, and in particular accomplishments stemming directly from the previous sabbatical, the description should emphasize the benefits accrued to the College from such activities.
- iv. A plan of activities while on sabbatical.
- v. A description of the likely outcomes of the sabbatical activities and the likely direct and indirect benefits to the College as a result of the sabbatical leave.
- vi. Current curriculum vitae.
- b. A letter of support from the department chair endorsing the applicant's plans and previous contributions to the College meriting a sabbatical, the department's replacement needs, and a statement regarding whether the applicant delayed his or her sabbatical application at the request of the department or College. In addition to the chair's letter that specifically speaks to the department's planning for the sabbatical, the chair also submits the department's seven-year sabbatical plan to the Dean of the Faculty (see V. Planning below).
- c. Except in the case of a candidate's first sabbatical application, the Dean of Faculty will supply the FPPC with a copy of the candidate's previous sabbatical application, curriculum vitae at the time of the previous application, and summary report of the previous sabbatical activities.

III. Procedures

- a. The applicant should speak to the Dean of the Faculty and the Assistant Dean of the Faculty for Grants and Scholarships eight to eighteen months prior to applying for a sabbatical to search out sources of external support to help the College defray the cost of the sabbatical.
- b. All sabbatical materials, including the faculty member's application, the department chair's letter of support and statement regarding replacement needs, and the department's seven-year sabbatical plan, are due to the Dean of Faculty's office by October 1 of the year prior to the academic year for which the leave is proposed (14 months before a calendar-year sabbatical would begin).
- c. The FPPC will make its recommendation to the President by November 1. The FPPC will forward its recommendation along with the department chair's letter to the chair of the ARRC.
- d. If a subsequent change in plans becomes necessary, a revised proposal stating the reasons must be submitted to the Dean of the Faculty for approval.
- e. Within one year of returning from sabbatical, the faculty member must submit to the Dean of the Faculty a detailed report summarizing sabbatical results and accomplishments. The report becomes part of the faculty member's record to be considered in evaluating performance and in judging future sabbatical leave requests.
- f. Sabbatical applications and summary reports are shared with the Board of Trustees.

IV. Considerations for FPPC

The FPPC's primary role is to ensure that sabbaticals involve projects that will provide benefits to the College as well as the faculty member. As a result, the FPPC may ask the applicant to modify or develop the proposal in ways that might more effectively achieve the purposes of individual and institutional improvement. In its deliberations, the FPPC will consider:

- a. Expected benefit of the sabbatical work to the College and the individual faculty member in terms of scholarship and teaching, both during and following the actual leave time.
- b. Evidence of the faculty member's value to the College since his or her previous sabbatical, with particular emphasis on activities undertaken explicitly during or as an outcome of the most recent sabbatical.
- c. Evidence that the activities during the leave could not be undertaken while not on leave.

V. Planning

Sabbaticals have costs, not simply financially but also in terms of reduction of course offerings and the temporary absence of full-time members of the community. Thus it is important for Departments as well as the College to consider how to mitigate these costs. Each Department should develop a seven-year plan, specifying for all tenured and tenure-track faculty members in the department, when each next expects to take a sabbatical leave and whether any such applications are expected to be associated with a delay for the department's benefit. In developing the plan, Departments should:

- a. Give priority to a faculty member who is requesting his or her first post-tenure sabbatical.
- b. Consider time since the faculty member last took a sabbatical leave or was on leave of any sort.
- c. Consider teaching load and service contribution to the College since last sabbatical.

In addition, Department Chairs must consider the impact of particular sabbatical proposals on course offerings and other departmental activities and responsibilities. Sabbaticals are recommended to the President assuming no replacement. Thus, supporting letters from Chairs should include:

- d. A plan for scheduling classes and addressing student needs (i.e., senior thesis advising, academic advising, etc.) while the faculty member would be on leave, including a summary of any requests made to ARRC or the Dean of the Faculty for allocation to fully or partially replace the faculty member's courses while on sabbatical leave.
- e. An evaluation of the benefit or harm delaying a sabbatical would have on students and departmental activities.

5. Junior Faculty Development Policy

(Approved by the Faculty on April 7, 1993; amended November 1, 2006)

a. Hotchkiss Fellows Program for Junior Faculty

The program is named in honor of Eugene Hotchkiss, President of the College from 1970-1993, who placed great importance on the support and professional development of junior faculty. Endowed by the Hotchkiss Fund and an additional endowment for junior faculty development, this program awards one-semester, fully paid sabbatical leaves to junior faculty.

All tenure-track, full-time faculty, who came to the College with no more than one year of countable service, upon passing the third-year review, are eligible for a one-semester Hotchkiss Fellowship at full pay and benefits. Hotchkiss Fellows will be exempt from all teaching, advising and administrative work responsibilities; in addition, Fellows will not serve on elected College committees during the year of the leave. Hotchkiss Fellowships may be taken in the fourth or fifth year of service at the College, to be arranged in consultation with departments. In all cases, the fellowship must be taken in a year prior to the year of tenure review. All courses will be fully replaced by the Hotchkiss Fund and other funds of the College.

Eligible applicants must be full-time and tenure-track, and may not have received more than one year countable service upon initial appointment to the College. The semester of Hotchkiss leave will be applied to a faculty member's countable service for tenure and promotion.

A plan describing the scholarly or creative work to be pursued during the Hotchkiss Fellowship must be included with materials submitted for third-year review, along with a supporting letter from the department chair. During the semester following the leave, Fellows will submit written reports to the Dean of the Faculty describing the work accomplished during the leave.

- b. Any eligible faculty member may refuse a Hotchkiss leave and may instead receive summer research stipends the first and second summers after passing the third-year review. Any faculty member ineligible for a Hotchkiss leave because of bringing more than one year of countable service upon initial appointment to the College may receive summer research stipends the first and second summers after passing the third-year review.

6. Child-Care Leave Policy*

(On May 6, 1988, the Board of Trustees approved the following Newborn Child Leave Policy; amended September 1988; amended May 12, 1989, September 1992, and December 6, 2006)

* Refer to I.D.7. for the policy on leaves for childcare purposes and to I.D.8. for the policy on family medical leaves. Use of child-care leave constitutes leave under the Family Medical Leave Act.

- a. A full-time teaching faculty member will be entitled to a paid leave in the case of the birth, assumption of care, or adoption of a child, where the faculty member is a primary caretaker of the child. The College may require appropriate documentation to support the leave request.
 - i. The faculty member may take a leave of absence for a full semester and receive three-quarter salary for the year with full medical benefits plus all other benefits for which the faculty member qualifies, pro-rated accordingly. The faculty member may elect to receive salary in one of the following patterns:
 - a) Half-salary for six months and full salary for the other six months; or
 - b) Three-quarter salary for the full year.
(Under this form of leave, the faculty member may be replaced within the department for the term of the leave.)
 - ii. The faculty member may also elect the option to teach five courses over the academic year, (or their equivalent for the natural sciences) while continuing non-classroom activities such as advising and receive full salary and medical benefits.
 - iii. A female faculty member may also take a medical leave of absence from her position. In accordance with current policy, pregnancy and childbirth, and recovery therefrom, are regarded as "temporary disabilities." Full pay will be provided for such medical disabilities for up to 90 days. If the disability continues beyond the 90-day period, the individual will receive compensation in accordance with long-term disability insurance. The determination of the length of time an employee will require for leave is a medical decision between that individual and her physician.
(Under this form, the faculty member will not be replaced within her department.)
- b. Any faculty member who takes a child-care leave within his/her tenure probationary period may choose to exclude that year from countable service toward tenure. This exclusion must be requested prior to the beginning of the academic year following exercise of option i, ii, or iii, and may be taken no more than two times.
- c. To assure the adequacy of the academic program, faculty members expecting to require such leave should confer with their department chairperson as early as possible.

7. Leaves Without Pay*

(Amended by the Board of Trustees, May 15, 1981, amended by policy change, September 1988, by the FPPC March 31, 1998)

* Refer to I.D.8. for the policy on family medical leaves.

In addition, leaves of absence without salary may be granted upon application if the intended use of the leave seems to be in the best interests of the College as well as the faculty member and if a suitable replacement can be found. For reasons of departmental and college planning a faculty member seeking a leave without pay must submit his or her request in writing to the Dean of Faculty by March 15 of the academic year preceding the leave. In extraordinary cases this requirement may be waived.

The College usually pays no benefits for a faculty member on leave of absence without salary. Faculty members receiving income from the College's long-term disability insurance plan are eligible for the tuition benefit for their dependent children at Lake Forest College only, subject to the same limitations and requirements stated for the tuition benefit for a teaching faculty member. While on an educational leave of absence, other than sabbatical, an eligible employee may elect to continue coverage in the group major medical plan for up to two years. In these circumstances life insurance coverage must be based on the College's "assumed earnings" figure which would be the salary the employee would have earned had he or

she not taken the leave and continued to work directly for the College. Life insurance will *not* be based on the earnings the employee receives from the grantor. In order to enact this coverage the employee must notify Personnel in writing within 31 days of the commencement of the leave and agree to reimburse the College for the premiums payable where applicable or to have the grantor submit the premiums to the College. Long-term disability insurance is not available while on a leave without pay. A faculty member who takes a leave without pay because s/he has received a nationally-competitive research grant will have his or her fringe benefits continued by the College.

Leaves of absence for child care purposes are considered leaves without salary; such leaves must be requested as early as possible, for periods of time concurrent with an academic term.

Leaves without pay should not exceed one academic year in length or extend over parts of two succeeding academic years, nor come more frequently than once in three years. Exceptions to this rule are possible for such purposes as public service.

8. Family Medical Leave

The College abides by the Family Medical Leave Act.

- a. Eligibility. A faculty member with 12 months of cumulative service (interpreted to mean two full academic semesters) and who has worked at least 1250 hours (interpreted to mean teaching more than three courses and interpreted for other members of the faculty to be greater than half time) in the 12 months immediately preceding the request for leave is eligible for up to 12 weeks (interpreted for teaching faculty to mean up to one semester) of unpaid time off in any 12-month period (at Lake Forest College this means June 1 to May 31) for the following reasons:
 - i. To care for the employee's newborn child, newly-adopted child, or newly-placed foster child. (See item I.D.6. above for Lake Forest College's policy for paid leaves for newborn children and see item I.D.7. above for additional information on leaves for child care purposes.)
 - ii. To care for a spouse, child, or parent who has a serious health condition, defined as an illness, injury, impairment, or physical or mental condition that involves: (1) an overnight hospital stay; (2) an absence of more than three consecutive calendar days and continuing treatments; (3) an incapacity due to pregnancy or prenatal care; or (4) a chronic or long-term incurable or incapacitating illness. (See the College Business Office for more detailed definitions.) A serious health condition does not include, for example, minor or routine ailments such as a common cold, upset stomach, headaches, or routine dental problems.
 - iii. The faculty member's own serious health condition. (See the College Business Office for more detailed definitions. Also note that, in accordance with current policy, full pay will be provided for temporary medical disabilities for up to 90 days. And, if the disability continues beyond the 90-day period, the individual will receive compensation in accordance with long-term disability insurance.)
- b. Benefits.
 - i. The Family Medical Leave Act requires that eligible employees be given unpaid leaves of up to 12 weeks (interpreted for teaching faculty to mean up to one semester) of unpaid time off in any 12-month period (at Lake Forest College this means June 1 to May 31).
 - ii. During the period of leave the College will continue to provide insurance benefits (per item I.E.3.), educational benefits (per item I.E.9.), college housing (per item I.E.10.), and second mortgages (per item I.E.11.). (Note that for unpaid leaves the employee-responsible portion of dependent medical insurance premiums must be paid directly to the Business Office.)
 - iii. A faculty member who takes a family medical leave for an entire semester during the tenure probationary period may choose to exclude that year from countable service toward tenure.

This exclusion must be requested prior to the beginning of the academic year following the family medical leave.

- c. Requests. To request a family medical leave, the faculty member needs to submit a completed "Employee Leave Request Form." The form is available in the Business Office and should be submitted--at least 60 days in advance when possible--to the Dean of the Faculty. To assure the adequacy of the academic program, faculty members expecting to request such leave should confer with their department chairperson as early as possible. (Under this form of leave, the faculty member may be replaced within the department for the term of the leave.)
- d. Substitution of Paid Leave. Any paid time off for which the faculty member may be eligible such as that provided for under the Newborn Child Leave policy may be applied to FMLA leave and will reduce the amount of the FMLA leave available to be taken.
- e. Certification, Recertification, and Documentation. Where faculty members request a leave of absence because of a serious health condition for themselves or an immediate family member, the College requires that the leave request be supported by a medical certification issued by a licensed healthcare provider. Certification forms are available in the Business Office. In any case where there is reason to question the validity of the certification, the College may require, at its own expense, a second opinion for a healthcare provider other than the healthcare provider utilized by the employee. Where the second opinion differs from the original certification, the College may require, again at its own expense, a third medical opinion which will be final and binding on all parties. The College may also require a faculty member on FMLA leave to provide medical recertification of a need to continue on the leave. Ordinarily, recertification will only be required every thirty days but when requested recertification must be furnished no later than fifteen days following receipt of the request.
- f. Intermittent and Reduced Schedule Leave. Faculty members who request FMLA leaves because of the serious health condition of a parent, spouse, child, or themselves may take their leaves intermittently or on a reduced schedule when *medically necessary*. When medical leaves are taken on an intermittent basis, the twelve-week maximum leave time will be calculated based on the actual time off. However, a faculty member who is taking intermittent leave on a reduced schedule may be transferred by the College to an equivalent alternative position with equal pay and benefits if that position better accommodates the disruptive effects of the intermittent leave.
- g. Return from Leave. Upon return from FMLA leave under this policy, a faculty member will be placed in the same position held when the leave commenced or an equivalent position with equivalent pay, benefits, and other terms and conditions of employment. Where the leave is the result of an employee's own serious health condition, the College will require medical certification from the employee establishing that he/she is physically able to resume work as a condition of reinstatement from any medical leave under this policy.

E. FACULTY SALARIES AND FRINGE BENEFITS

1. Faculty Salaries

Salaries of full-time members of the teaching faculty are paid in twelve equal installments, always on the first business day of each month, beginning with September. Salary checks may be direct-deposited or placed in campus mail boxes, unless the Business Office is instructed otherwise. It is customary to send to each faculty member written notice of the salary for the coming year following the spring meeting of the Board of Trustees, at which time the budget for the next year is approved.

2. Retirement Income

(Amended September 1, 1987; January 1, 1989)

The College provides a retirement program through the Teachers' Insurance and Annuity Association. The following provisions apply:

All faculty teaching three or more courses per academic year, and all professional personnel employed half-time or more, after completion of two years of service and twenty-one years of age, are eligible for participation in the T.I.A.A.-C.R.E.F. retirement program.

Lake Forest College makes the entire required contribution to the T.I.A.A.-C.R.E.F. for eligible members. Full-time members of the faculty may make an additional contribution from their salaries through a salary "reduction" plan. "Salary Reduction Annuity" is a form of contract for employees who want to set aside tax deferred funds over and above amounts being accumulated under their institution's basic retirement plan. Information about this option may be obtained from the Personnel Office.

The College's contribution is 10% of the annual salary for all eligible participants.

3. Insurance Program - Full-Time Employees

(Amended by Board of Trustees, March 7, 1981; amended October 1, 1993)

- a. The cost for employee and dependent group health insurance is contributory and is based on one's salary. The College pays a portion of the premium. Terminated employees, faculty on leaves without pay, and/or dependents of insured employees ineligible for continued coverage due to age, divorce, or death may elect to continue coverage at their own expense at 102% of current premium. Length of continuation is determined by law and circumstances of ineligibility. Details of the insurance plan are published in the Summary Plan Description booklet that is available at the Business Office.
- b. Life insurance and accidental death and dismemberment benefits in the amount of one and one-half times salary, rounded to the next highest \$1000, to maximum of \$300,000, is carried by the College at no cost to the employee, up until age 70. Reduced amounts of coverage occur after age 70.
- c. A long-term disability insurance plan for all employees of the College is provided. This fringe benefit provides income for total disability after 90 days from the beginning of the disability. The premium will be paid by the College. The insurance company pays 66-2/3% of the monthly salary, coordinated with Social Security Disability Benefits, up to a maximum of \$10,000 of payment per month during the period of disability. The T.I.A.A.-C.R.E.F. premium currently being paid by the College is paid by the insurance company to a maximum of \$1,000.00 per month, provided the employee is then on the T.I.A.A.-C.R.E.F. plan.
- d. Faculty members are encouraged to direct any questions or concerns to the College's Health Insurance Advisory Committee.

4. Moving Expenses

(Approved by Board of Trustees, December 13, 1986)

The College will reimburse a full-time faculty member for part of the moving expenses incurred during the initial move from the faculty member's former principal place of residence to Lake Forest in connection with a new appointment at the College so long as the move is completed within one year from the date of appointment. The cost of moving normal household goods will be considered. Reimbursement will be actual costs, not to exceed the maximum determined by distance of residence to Lake Forest, as follows:

Air Miles	Maximum Benefit¹
Less than 500	\$1,500
750	2,000
1,000	2,500
1,500	3,500
Over 1,500	4,000

When a faculty member accomplishes the moving by renting a commercial truck or trailer, the following items may be included in the total moving expense: rental of truck or trailer, gasoline, reasonable labor costs for loading and unloading, and reasonable costs of packing materials. The College will not reimburse faculty members for travel, lodging or meal expenses for themselves or any member of their family during the move or for any storage costs. The College will not be responsible for any loss or damage.

Documented receipts are required for all reimbursements. Reimbursement for moving expenses is done through payroll and is not taxable income but must be reported by the College to the Internal Revenue Service.

5. Attendance at Professional Meetings

(Amended by the President upon recommendation of FPPC, September, 1981; November 1987; September 1988)

The College encourages attendance at professional meetings and will compensate for expenses incurred, provided the following guidelines are met:

a. Eligibility

- i. Full-time faculty members on a continuing or tenured appointment, provided they carry at least a half-time teaching load, may receive compensation for major expenses incurred while attending one professional meeting in a given appointment year and subsequent summer (September 1 through August 31). There will be no compensation if a faculty member's appointment is temporary (one year or less) in nature.
- ii. Faculty members are eligible during a year when they have a sabbatical, whether the sabbatical is for half a year or a full year. Faculty members on other kinds of leaves are not eligible whatever the length of absence.
- iii. Other teaching faculty are not eligible unless the Dean of Faculty determines that their attendance at a meeting is clearly to the benefit of the College.

b. Travel Compensation

In order to keep the total costs of attendance at professional meetings and conferences within the budget allocation for a given year, the Dean of the Faculty will decide at the beginning of the academic year whether 100% or some lower percentage of the figure calculated according to the guidelines will be paid.

Faculty shall be reimbursed for actual charges incurred in travel as follows:

- i. For hotel accommodations up to \$110.00 per day, with a four-day maximum.

¹ The dollar amount of the benefit is subject to annual review and may be changed by the President.

ii. For travel

- a) by air, at no more than the lowest reasonable fare, with ground transportation costs excluded except in unusual circumstances;
- b) by automobile, at the rate established by the IRS for previous year for the owner of the vehicle, not to exceed the lowest reasonable air fare;
- c) by train, at a ticket cost plus meals on the train, not to exceed the lowest reasonable air fare.

iii. Academic conference registration fee up to \$150 will be covered for full-time teaching faculty.

iv. The College does not usually reimburse expenses for ground transportation.

Note: To assure compensation at the maximum rate for all attending professional meetings, FACULTY ARE EXPECTED TO MAKE TRAVEL ARRANGEMENTS SUFFICIENTLY IN ADVANCE IN ORDER TO TAKE ADVANTAGE OF THE LOWEST REASONABLE AIR FARE AND SPECIAL FLIGHT AND ACCOMMODATION RATES. If substantially lower fares are obtained by staying longer (for example, Saturday night), reimbursement for the hotel will be made if there is a net savings to Lake Forest College.

Travel accident insurance is provided for all active full- and part-time officers, department heads, and faculty members through an ACM group policy. It covers death, dismemberment and disability resulting from an accident while traveling on behalf of the College. Your group insurance beneficiary applies. A copy of the policy is in the Business Office. Benefit level is two times base salary, with a minimum coverage of \$50,000, and a maximum coverage of \$300,000.

c. Travel Outside Continental United States

A faculty member may receive compensation for attending a meeting outside the continental United States once every three years. In such cases, the faculty member will be allowed travel compensation not to exceed \$800 toward the cost of transportation; the restriction of a maximum of \$110.00 for hotel accommodations for up to four days will apply. Travel to conferences in Canada is regarded as domestic rather than foreign travel.

d. Procedures

The Dean of the Faculty's office provides forms to be used for requesting compensation for travel costs. Documentation of all expenses incurred must be attached to this form. Faculty members who wish to charge the College for air or rail tickets for trips that fall under the above guidelines must request a purchase order number from the office of the Dean of the Faculty and supply it to Mary Sinclair at Lake Forest Travel, 847-234-4940. If tickets are purchased at other travel agencies, the faculty member will be reimbursed for that purchase only after submission of all expense documents.

6. Indirect Costs Policy

(Adopted by Administration, with FPPC approval, and accepted by the Board of Trustees on May 11, 1990)

Indirect costs are those costs incurred for the general support and management of sponsored activities but that cannot be directly attributed to a particular activity. In essence, a funding agency pays for the use of an institution's facilities.

Indirect costs are computed costs and allowed as a percentage of "direct salaries and wages including vacation, holiday, and sick pay but excluding other fringe benefits." This rate, at 59% through May 31, 2001, was approved by the Department of Health and Human Services as a result of a proposal prepared by the

Vice President for Business Affairs in accordance with specific rules and regulations. "Gray areas," those not precisely defined as direct or indirect operating costs, are negotiated by the Federal reviewer and the Vice President. It has been the policy at Lake Forest to concur with the reviewer in reducing indirect costs, thereby reducing the rate.

In an effort to encourage research, the following policy was in effect for grants --new or renewals--that have a starting date on or after 6/1/90. For those grants awarded the full indirect cost rate, 75% of the awarded indirect costs will be allocated to the College's general revenues and 25% will be allocated for the general use of the department. These funds may be used for equipment, travel, personnel, etc. and such determination will be made by the Dean of the Faculty, chairperson of the department, and the grantee. Such expenditures must be all inclusive, i.e., all personnel fringe benefits must be included. For those grants awarded less than the full indirect cost rate, the grantee's 25% allocation is depleted first. In other words, the lower negotiated rate is not shared on a prorated basis by the grantee and the College, but borne by the grantee. All grants with lower than negotiated rates must be approved by the Dean of the Faculty and the Vice President for Business Affairs.

7. Caps and Gowns

The College provides faculty with caps and gowns (but not hoods) that may be kept as long as faculty remain at the College.

8. Educational Benefit

(Amended by the Board of Trustees, May 15, 1981; December 10, 1983; December 13, 1986; May 12, 1989; March 1, 1996 and December 6, 2006)

The purpose of the education benefit program at Lake Forest College is to assist employees and their dependents in obtaining their first Baccalaureate Degree.

The eligibility provisions set forth below apply to teaching faculty. Educational benefit eligibility provisions for non-teaching faculty are the same as for professional staff, and may be found in the Administrative Staff Handbook.

Effective June 1, 2010, full-time faculty members eligible to receive the educational benefit described in this section include tenured or tenure-track faculty upon appointment, as well as any other faculty who have taught full-time for at least three consecutive years immediately prior to using the educational benefit.

Lake Forest College will contribute toward the costs of college tuition, at colleges and universities other than Lake Forest, of dependent children of full-time faculty members. The contribution is the actual cost of tuition up to a maximum of 30% of the college's tuition, per fiscal year, subject to review every three years. No contribution will be made to cover costs not included in the comparable charge to other students who attend Lake Forest College. This means that room, board, student insurance, activity fees, and like items are excluded. Payment is made directly to the college or university in which the son or daughter is enrolling once the Business Office has been provided the appropriate billing statement.

Spouse and dependent children of full-time faculty members will receive the tuition benefit in regular undergraduate classes at Lake Forest College until the first Baccalaureate Degree is obtained, or the benefit has been provided for the equivalent of four academic years as a full-time student, whichever time is less.

A dependent's eligibility for the educational benefit is limited to four academic years of undergraduate work, or until a Baccalaureate Degree has been awarded, whichever is less. If such benefit is to be used at Lake Forest College, then the regular admission requirements of the College must be satisfied as a prerequisite to the utilization of this benefit. Graduate or professional study for a dependent will not be subsidized. At Lake Forest College the dependent will be charged an admission application fee, the student activity fee, and clinic fee. If the dependent elects to be a resident student, room and board will be charged as with all such students and the appropriate room deposit will be required. Under no circumstance will the tuition benefit be available beyond the equivalent of four academic years of study (tuition benefit to mean either support paid to another

college or tuition remission at Lake Forest College). Such eligibility is defined as 8 semesters or twelve quarters. When a dependent attends more than one institution, his or her remaining eligibility is determined by the proportional sum remaining from the limits defined above.

Faculty members need to consider carefully whether or not they wish to use this benefit for a dependent's attendance in summer school. At most institutions the definition of a full-time student during the summer is considerably different than in the academic year. If a dependent who is receiving benefit support at another college or university attends Lake Forest College during the summer, the tuition benefit afforded the attending student will be pro-rated against his/her tuition benefit for the next academic year (e.g., taking 1 course will mean the student's tuition benefit for the next academic year will be 7/8 the academic year benefit).

To encourage both faculty members and spouses with a Baccalaureate Degree to enroll in undergraduate courses at Lake Forest College, the audit benefit will be provided such individuals provided space is available in the class. Private lessons, workshops, tutorials, and independent study are not included, nor is any course work leading to an M/LS degree.

The tuition benefit as described above ceases upon retirement of the faculty member or upon death, termination, or total disability of the faculty member before retirement. However, if death or total disability occurs during an academic year the benefit will continue for the remainder of the academic year. Further, if the faculty member has served the College for seven full years as a full-time faculty member, children who were claimed as his/her dependents in the taxable year preceding death and who were in Grade 7 or higher at the time of the death will be eligible for the benefit at Lake Forest College, subject to the same limitations and requirements stated for the tuition benefit to faculty who are not retired.

It will be the obligation of faculty members to make application for their spouses and children for the monetary award from the Illinois State Scholarship Commission in all cases when attendance at Lake Forest College is anticipated. This application must be made on a yearly basis and the established deadline must be met. Such dependents are eligible for that portion of tuition and mandatory fees not covered by a monetary award from ISSC.

The faculty member will be required to certify, in writing, that the son, daughter or spouse was claimed as a dependent for the taxable year prior to the term of enrollment and will be claimed in the calendar years in which enrollment takes place. Eligible employees of the College may be asked to submit the appropriate 1040 form for verification of eligibility.

Applications for this benefit are due by March 1 each year.

The dependent children of full-time teaching faculty are eligible to participate in the Associated Colleges of the Midwest (ACM) Tuition Remission Exchange Program (TREP). This program is a tuition exchange program with other ACM institutions. All educational benefit requirements given above apply. Interested applicants must obtain a "Certificate of Eligibility" form from the Business Office. This certificate plus a \$25.00 fee must be mailed to the ACM TREP Coordinator at the ACM office. Applications for admission are submitted in the usual manner. Neither admission nor participation are guaranteed. See the Vice President for Business Affairs for further information.

9. College Housing

(Amended September 1, 1987; September 1988; December 1989; September 1992)

- a. The College attempts to provide housing for all newly-appointed full-time members of the faculty, to make housing affordable; and to strengthen the collegiality of the community. When such housing is not available, in order to encourage newly-appointed full-time faculty to live near the College, the College provides a monthly subsidy for such individuals providing they reside within a defined geographic area; such a subsidy is provided only so long as no college housing exists or until the faculty member would otherwise no longer be eligible for College housing. Refusal of College housing negates the subsidy.

- b. When full-time members of the teaching faculty are notified of the decision to grant tenure, or in the case of appointments initially at the associate professor level or above, of the decision not to make the fourth year appointment a terminal one, they shall also be given notice to vacate College housing by the end of the contract year following that in which the above decision is made.
- c. Full-time members of the non-teaching faculty and teaching faculty not eligible for tenure are eligible for College housing, but may reside in such housing for a maximum of four years.
- d. Eligible faculty may expect to remain in College housing for a minimum of four years. If necessary to vacate under the rules above, notice will be given at the end of the third year.
- e. Certain houses and apartments may be set aside for the use of faculty and/or administrators whom the College administration, after consultation with the Faculty Personnel Policies Committee, determines should live on or near the campus because of their particular duties.
- f. A person seeking College housing or desiring a change in housing shall fill out the standard housing request form and submit it to the College Personnel Officer, who shall keep a file of applications in the order in which they are received. That file will be available for inspection by those who are applying for College housing. The College Housing Committee, consisting of a representative of the administration designated by the President, the Dean of Faculty or a representative from the staff selected by the Dean, and at least one member of the Subcommittee on Promotion and Tenure, will determine the priority of assignment when factors other than the order of request are to be taken into consideration. The College reserves the right to assign tenants to specific units on an annual basis in accordance with each year's housing requests and needs as defined by policy.
- g. Housing assignments
 - i. The College Housing Committee will assign available housing by June 1 to eligible faculty on the list. Remaining units, if any, will be held for late faculty appointments, if any, until July 1, and then assigned to those ineligible for housing irrespective of any applications that might be expected after that date;
 - ii. Eligible faculty receiving a rent subsidy will automatically be placed at the top of the housing list. If more than one individual is so listed they will be housed in the original order;
 - iii. Family size will always be considered in housing allocation and if families applying for similar housing are identical in size, order of application will be decisive;
 - iv. Neither seniority nor base salary will be a factor in the committee's decisions;
 - v. Applications will not remain in the active file after August 31. Applications for the next year are accepted on or after September 1.
- h. Whenever College housing cannot all be filled by eligible members of the faculty, the College Housing Committee will assign units to those who are technically ineligible for College housing for no longer than the current lease year. Among the deciding factors which the committee will apply in determining who should be given preference in these instances will be the total salary of the applying faculty or staff plus dependents, the size of available housing units, and the length of previous stay in College housing.
- i. Should College housing not be available after July 1 for newly hired eligible faculty, the College will provide a taxable subsidy for rental housing located in a prescribed geographic area (as of July 1, 1989, the subsidy is \$200 per month for the area defined by the Lake Forest High School District and \$160 per month for the area outside the District but bounded by Wadsworth Road, Hunt Club Road and Milburn Road on the North, Routes 45 and 83 on the West, and Lake-Cook Road on the South).

- j. The normal term of lease is from June 1 through May 31. In the event that a faculty or staff member who is renting from the College purchases housing, the lease may be shorter. Such requests should be made to the College Personnel Officer as soon as possible, but not later than thirty days prior to the desired date for terminating the lease.
- k. College housing is a privilege reserved for College faculty and staff, their immediate families and guests; at no time may rooms or units be rented to LFC students, nor are other rentals permitted except when the house is unoccupied during the summer months or during the academic year due to a leave of absence.
- l. At least once a year, a meeting will be scheduled between residents of College housing and the administration to consider topics of mutual interest.

10. Faculty-Staff Second Mortgage Policy

(Approved February 18, 2005, by the Board of Trustees, effective February 1, 2005, to replace the original Second Mortgage Policy in its entirety)

PURPOSE – To facilitate home purchases by full-time, tenured teaching faculty and by a certain number of full-time administrative staff. Funding constraints require the eligibility limits specified below. The maximum amount available for a second mortgage will depend on whether the property is located within the Primary Area or the Secondary Area. Eligible faculty or staff must apply to the President, whose approval is required.

ELIGIBILITY – Eligibility for full-time teaching faculty will accrue upon receipt of tenure, with the following limited exception: any full-time, tenure-track teaching faculty member appointed as such no later than September 1, 2004 who, after a successful third-year review, purchases a home in either the Primary Area or the Secondary Area, may apply for a second mortgage on that home following his or her receipt of tenure, for the exclusive purpose of reducing the amount of a first mortgage. For a faculty member covered by this limited exception, the second mortgage interest rate will be 60% of the rate published in the *Wall Street Journal* seven days preceding the date of closing as the yield posted by Federal National Mortgage Association on a 30-year standard conventional fixed-rate mortgage. This limited exception will expire August 31, 2010.

Eligibility for administrative staff will be limited to full-time employees who are neither tenured nor tenure-track teaching faculty, and who have worked at the College for a minimum of seven consecutive years. A maximum of 12 second mortgages are available for administrative staff meeting these conditions, including any mortgages outstanding on September 1, 2004. An application must be made by May 31 for potential approval of one of these second mortgages at any time in the subsequent fiscal year. No more than two of these 12 second mortgages will be approved in a single fiscal year. An application must include a letter of support from either the applicant's department head or an officer of the College. The President will decide whether to grant or deny an application based on its comparative strength and on the availability of any of the designated 12 mortgages. An applicant denied in a given year retains the right to reapply in a succeeding year, but only if she or he has not proceeded, in the meantime, to purchase a home without benefit of a second mortgage. Once 12 second mortgages have been granted under this provision, no more will be available to administrative staff until one of the 12 has been satisfied.

Eligibility is limited, in any and all cases, to first-time home purchasers in either the Primary Area or the Secondary Area. Second mortgages are not available for repurchase or refinancing of real estate currently owned in either area, and no more than one second mortgage from the College may be approved per property or household.

The President will consider an exception to any of these eligibility requirements only in extraordinary circumstances.

AMOUNT – Not to exceed the lower of 40% of the purchase price or: (a) \$110,000 in the Primary Area bounded by Wadsworth Road, Hunt Club Road and Milburn on the North; Route 83 and Loon Lake Road on the West; and Lake-Cook Road on the South; or (b) \$55,000 in the Secondary Area, which extends 30 miles in any direction from any point on the boundary of the College's core campus as shown on maps maintained by the Vice President for Business Affairs. Whether in the Primary Area or the Secondary Area, the combination of all mortgages on a property at all times may not exceed 90% of the purchase price and subsequent appraised value.

INTEREST RATE – No points. Except for the limited exception described under “Eligibility,” above, the interest rate will be the prime rate published in the *Wall Street Journal* seven days preceding the date of closing, and adjusted every September 1 thereafter to reflect changes in the prime rate. Commitments for delivery within 30 days.

TERM – Same as the first mortgage, but must be paid off within one year after the faculty member or administrator leaves the employ of the College. Faculty or administrators who retire from the College at age 62 or older may continue to hold second mortgages under this Policy as long as the house is occupied at least 50% of the time by the mortgagor. In the event of the death of the mortgagor, the mortgage must be repaid to the College within one year.

OCCUPANCY – Must be occupied by the mortgagor. If not so occupied for one year, then the mortgage is due at the end of that year.

PAYMENTS – Through regular monthly salary deductions. No leave of absence will be approved for a faculty or staff mortgagor unless she or he first makes an arrangement, approved by the Vice President for Business Affairs, to make monthly payments on a timely basis.

OTHER LIENS ON THE PROPERTY – Under no circumstances will the College’s second mortgage assume a lesser lien position to home equity loans or other liens on the property.

FINANCIAL STATEMENT – A proper financial statement and other required documents must be submitted in a timely manner to the Business Office as a condition of approval.

INSURANCE – At closing and annually thereafter proof of homeowners insurance which lists the College as a lienholder.

APPROVAL – The Investment Committee holds final authority to grant or deny approval, which authority has been delegated to the President.

FUNDS AVAILABLE – Unrestricted College endowment funds of up to \$3 million may be used to finance such second mortgages. In addition, the College may use for this purpose funds totaling no more than \$2 million made available through a line of credit from a commercial bank, on terms approved by the Board.

REVIEW OBLIGATION – This Policy is subject to a review after five years, or when authorized funding is expended, or whenever the President deems it advisable in the College’s best interests.

EFFECTIVE DATE – The effective date of this Policy is February 1, 2005. It supersedes and replaces any earlier policy and shall be the only Second Mortgage Policy of the College.

11. Employer-Assisted Housing (EAH) Program

Lake Forest College has made a major commitment to assist its employees invest in housing by participating in an **Employer-Assisted Housing (EAH) Program**. The program will benefit employees who wish to purchase a home in Illinois within close proximity of the College. To be eligible, homes purchased must be within 15 miles of the College.

The Lake Forest College Employer-Assisted Housing Program supports and encourages homeownership by providing eligible employees a \$5,000 forgivable loan for the purchase of a new or existing home; single-family, two-flat or condominium. Employees must be purchasing a home; refinancing is not a qualified purchase.

In addition to providing direct financial support, the College has linked up with **Affordable Housing Corporation of Lake County** and the Metropolitan Planning Council (MPC) to provide employees access to comprehensive confidential homeownership counseling, professional referral assistance for financial and legal matters, as well as post-purchase support.

Eligibility

A Lake Forest College employee must meet the following criteria:

- a) Is a full-time 12-month staff member or a full-time member of the teaching faculty.
- b) Has completed **one year** of satisfactory service with the College.
- c) Is a first-time home buyer.
- d) Has household income that falls within the calendar year Chicago Area Income Guidelines set annually by the Illinois Housing Development Authority (IHDA) to qualify for the state tax credit.
- e) Is purchasing a home within 15 miles of the College.
- f) Can qualify for mortgage financing from a conventional lender or mortgage company with an interest rate no more than 1% over the published Fannie Mae 60-day rate at the time of loan commitment.
- g) Is able and willing to contribute at least \$1,000 from their own savings.
- h) Demonstrates commitment to working with the EAH Program toward meeting pertinent regulations stipulated by participating lenders, including but not limited to credit counseling and home buying education.
- i) Faculty members participating in the College's second mortgage program may also take advantage of this assistance if their household income falls within the limits set by IHDA to be eligible for the match.

Enrollment

Enrollment is open to all employees who meet the eligibility requirements. Eligibility applications are available through Human Resources. Once this form has been completed, it should be returned to Human Resources where it will be reviewed to determine if the employee meets the EAH Program's Eligibility Requirements. If the eligibility requirements are met, Human Resources will send an **Employee Referral Form** to Affordable Housing Corporation of Lake County. This document states that the employee is enrolled in the program and ready to start receiving homebuyer education from Affordable Housing Corporation of Lake County.

The EAH Program is limited to no more than five loans per fiscal year. Affordable Housing Corporation of Lake County will provide counseling to all eligible employees referred by the College. Applications are processed on a first-come, first-served basis. Preference will be given based on criteria established by the College and will consider factors such as first-time homebuyer, the type of position held at the College and the length of the employee's employment with the College. The down payment assistance will be reserved for an employee once the employee has begun counseling and obtained pre-approval for a mortgage.

Program Description

In addition to having access to the free homebuyer education, employees also will benefit from the individualized and confidential services of Affordable Housing Corporation of Lake County, who will work with eligible employees to develop a housing access plan. This plan is based on the employee's individual goals and needs toward the goal of becoming a homeowner. Affordable Housing Corporation of Lake County will further provide homeownership education and credit counseling to help the employee find a home suitable for his or her needs and to qualify for a loan. Toward that end, Affordable Housing Corporation of Lake County will serve as a resource to employees as they search for real estate agents, mortgage lenders, bankers and other service providers. Once the employee has obtained pre-approval for mortgage financing, Affordable Housing Corporation of Lake County will notify the College to reserve the funds. The College will then verify if the employee still fulfills the EAH Program eligibility requirements to participate in the program and confirm

with Affordable Housing Corporation of Lake County that down payment assistance is available for this employee.

Down payment and closing costs assistance from the EAH Program is contingent upon the employee's fulfillment of eligibility requirements, including qualification for a mortgage loan and willingness to contribute \$1,000. If the EAH program financial assistance is approved, then the employee will complete a **Forgivable Loan Agreement** and a **Promissory Note** with Affordable Housing Corporation of Lake County pursuant to the EAH Program before EAH Program funds can be issued. EAH Program funds will be made available to the employee at the closing of the home acquisition. An employee will not be able to take cash away from the closing.

Some employees may be eligible for additional financial assistance through the State of Illinois and through Lake County. The Affordable Housing Corporation of Lake County will evaluate applicants for eligibility and will arrange for assistance at closing. The additional assistance will go toward down payment/closing costs and can be recaptured by the state if the buyer does not 1) remain in the home for five years, or 2) maintain the home as principal residence.

Program Sequence

1. The employee fills out an **Eligibility Application** and returns it to Human Resources.
2. If Eligibility Requirements are met, Human Resources sends an **Employee Referral Form** to Affordable Housing Corporation of Lake County.
3. Affordable Housing Corporation of Lake County provides homebuyer education. Employee works to repair credit, save for down payment, etc., as appropriate.
4. Employee seeks pre-approval for financing, looks for a house.
5. Employee signs a contract to purchase a home.
6. Affordable Housing Corporation of Lake County sends the College a **Release of Funds Authorization** once an employee is ready to purchase a home.
7. The College confirms that employee still meets Eligibility Requirements.
8. A post-occupancy plan is set in place as a protection against future financial difficulties.
9. Employee signs a **Loan Agreement** and a **Promissory Note** with Affordable Housing Corporation of Lake County.
10. The College issues a check to help cover down payment and closing costs. Human Resources will give the employee an EAH Program loan schedule.
11. Closing.
12. Employee becomes a homeowner.
13. Affordable Housing Corporation of Lake County is available to the employee for post-purchase support.

If approved for a loan, an employee does not have to repay the loan, provided that for five years from the date of purchase the employee:

1. Remains employed by the College,
2. Maintains ownership interest in the purchased property, and
3. Continuously occupies the purchased property as the employee's principal residence.

During the five years following the employee's date of purchase, one/sixtieth (1/60) of the loan amount will be forgiven each month. The loan, whose original principal will be no more than \$5,000, will have a **Recapture Period** of five years, and the amount of the repayment shall be the amount of the loan reduced by one/sixtieth (1/60) for each full month of occupancy of the residence by the employee from the date of closing.

If the employee fulfills the requirements noted above for five years, there is no obligation to pay back any money to the College. However, in the event that an employee does not satisfy these requirements, the pro-rated portion of the remainder of the loan will have to be returned to the College.

Once an employee is enrolled, Affordable Housing Corporation of Lake County will attempt to answer any questions an employee has relating to housing stability, the EAH loan, or any other homeownership concerns.

It is important to note that acceptance of the College's EAH loan does not guarantee continuous employment.

12. Leisure Use of College Facilities

Members of the faculty, their spouses/partners and children are encouraged to use the library and its facilities, the Sports and Recreation Center Lobby and Cafe, and Commonplace for fast foods and meeting students. Additionally, members of the faculty, their spouses/partners and children (23 years of age and under) are encouraged to use the amenities the Sports and Recreation Center has to offer; however, all patrons of the Sports and Recreation Center must follow operating rules and regulations. Faculty/staff are also allowed 20 guest passes per year for family and friends. To register, guests must be accompanied by their host, have a valid photo ID, and sign a liability waiver upon entry. A parent/guardian signature is required for guests under the age of 18. All patrons under the age of 16 are not permitted on any cardiovascular or weight room equipment.

In addition, most activities of the College are available to faculty and their immediate families without charge. These include athletic events, exercise classes, lectures, discussions, concerts, films, and dramatic presentations.

SECTION II

FACULTY ACADEMIC AND ADMINISTRATIVE POLICIES

A. FACULTY ACADEMIC POLICIES

1. Faculty Responsibilities

(Amended September 1, 1987)

The appointment year of the teaching faculty extends from September 1 to the following August 31; teaching responsibilities, in general, extend from late August through commencement. Faculty are expected to participate in the first scheduled events each fall and at commencement activities each spring unless excused by the Dean of the Faculty.

The Bylaws of Lake Forest College contain the following statement of faculty responsibility:

- It shall be the responsibility of each member of the faculty to teach those courses assigned to him or her as effectively as possible, giving the imagination wide range in order to find the techniques of instruction best suited to the particular course and engaging in reading and study designed to improve the quality of the teaching and to increase the instructor's own knowledge. A member of the faculty shall not appoint anyone to perform his or her duties in the classroom without the approval, in each case, of the President or the Dean of the Faculty.

2. Teaching Loads and Faculty Time

(The Faculty Personnel Policies Committee drew up the following guidelines on February 8, 1979; policy recommended at Faculty Meeting of March 6, 1979)

a. Course Load

Each faculty member is expected to teach six courses per year in addition to directing a reasonable number of independent studies. In cases involving laboratory work, the equivalent course credit is calculated by taking one fourth of the total number of class and laboratory hours per week.

Affirming the importance of teaching at Lake Forest, the faculty authorizes up to two, team-taught undergraduate courses per year, with full teaching credit given to two instructors, to be selected by the Academic Resources and Review Committee with the concurrence of the chairs of the affected departments and according to criteria determined and published by the committee. (Amended by the Faculty, April 6, 1988.)

b. Additional Faculty Responsibilities

Faculty members have many responsibilities beyond spending time in the classroom and laboratory. Full-time faculty members are expected to use the time not scheduled for classes to prepare for their classes; meet with and counsel students; participate in the life of the College through its committee system and its co-curricular activities; study and do research; be available to meet with colleagues to discuss issues of common concern and to foster a sense of intellectual community at the College. It is vital to the special mission of the College that the faculty be deeply involved in the affairs of the institution, and that they be readily available to students for help, advice, and encouragement. (Amended by the Faculty February 4, 1981.)

c. Five-Course Option for Faculty with Tenure

1. Tenured teaching faculty members at Lake Forest College are eligible for the "Five Course Option" (FCO). Under this option a faculty member may elect to teach five courses in a given academic year after approval by the departmental chair and Dean of the Faculty.
2. Under the FCO, 10% will be deducted from the faculty member's base salary. This base salary represents salary compensation for a faculty member's three areas of responsibility (a six-course-per-year teaching load, scholarly research, and service to the college) with payment spread equally over twelve monthly installments.
 - a. This base salary amount will be used for all official reporting to outside constituencies, such as the ACM.
 - b. The base salary will be specified in the appointment letter for each faculty member who adopts the FCO with the salary reduction made explicit.
 - c. The College's contributions to the retirement plan and for FICA taxes will be based on actual salary paid. The insurance benefits (life, health and LTD) and premiums will be calculated on the base salary as is currently the practice with sabbaticals.
 - d. This policy does not affect the course reduction granted to departmental chairs.
3. Requests to use the option must be made to department chairs by Oct. 1 of the previous academic year. Chairs must submit the request to the Dean of Faculty and Business Office by November 1.
4. Faculty members who elect the FCO will need to work collaboratively with their department chairs to determine the curricular impact of their decision. Chairs may expect faculty members to help find a suitable replacement for the lost course. Chairs may elect not to replace the course or to replace it with a different course. Departmental allocation will not be affected by the FCO.
5. An FCO year counts as a full year of service towards sabbatical and promotion.
6. This policy will begin in 2007-2008 and will be a pilot program for three years. The policy may be suspended by the President at any time for any reason.

3. Teacher Development (Approved at Faculty Meeting, March 5, 1997)

Because our faculty takes pride in its commitment to teaching, a variety of resources is available:

- The faculty mentor program;
- College-wide and departmental workshops;
- Off-campus programs;
- Informal conversations with colleagues.
- The Learning and Teaching Center

Faculty are especially encouraged to exchange occasional, informal classroom visits with colleagues within and outside their departments.

4. Administrative Duties

Depending on the amount of administrative responsibility, a department chairperson or director of an interdisciplinary program may, upon consultation with the Dean, reduce his or her teaching load by up to one course per year. (FPPC, March 2 and 16, 1979)

5. Committee Service

Full-time faculty are expected to serve in a variety of ways; on standing and ad hoc committees, as faculty officers, as representatives to organizations, etc. Responsibilities will vary in the amount of time and work required, but an effort will be made to equalize this service over a period of time. (Amended by the Faculty February 4, 1998.)

6. Student Advising

Each faculty member is expected to serve as academic advisor to an as nearly proportionate share of the student body as is possible. A faculty member whose official list of advisees exceeds a proportionate share by more than one-third will be considered to be carrying an overload of advisees, and some adjustment will be made either by reducing the advising load in a subsequent year or by a reduction in the normal load in some other kind of activity.

7. Research

Research and other scholarly work are expected to be a normal part of each faculty member's work load.

8. Invention and Patent Policy

The College faculty and Trustees have approved a College Invention and Patent Policy which requires all faculty, staff, and students who participate either alone or in association with others in inventions or discoveries to disclose promptly such inventions or discoveries to the President provided that College time, facilities, or materials were used in connection therewith. In addition, the College has contracted with Research Corporation Technologies for the marketing of such inventions as the College desires to assign to it. Any faculty member who believes he/she or a student might be affected should request a full statement of the College Patent Policy from the Office of the Dean of the Faculty.

9. Misconduct in Scholarship

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

(Following approved at Faculty Meeting February 10, 1993; amended October 1996)

a. Preamble and Summary

Misconduct in scholarship is historically a rare occurrence. However, should an instance arise in which misconduct by a member of the Lake Forest College community is alleged to have occurred, the College must investigate promptly, while affording the maximum protection both to the complainant and to the accused or respondent. That is the intent of this policy.

This policy applies to all faculty and staff engaged in scholarship. Students who are accused of scholarly misconduct are subject only to "Academic Honesty Rules and Procedures," described here in section d.ii and in the student handbook, except in those cases of misconduct in scholarship supported by outside agencies which require a specific policy such as is described in this document. These students are subject to the policy and procedures stated here.

Misconduct in scholarship means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the appropriate scholarly

community for proposing, conducting, or reporting on scholarship. It does not include honest error or honest differences in interpretations or judgments of data. It should not inhibit the spirit of free enquiry or risk-taking that is sometimes a feature of good research.

The Dean of the Faculty (hereinafter "the Dean") has responsibility for informing the faculty, staff, and those students falling under this policy, of the College's policy with regard to misconduct in scholarship, and for interpreting this policy. The Dean may delegate the responsibility for informing students about this policy to the faculty overseeing the student research.

The procedure to be followed has three stages: **inquiry, investigation, and resolution**. Those responsible for conducting each phase should bear in mind the following important principles:

- The College must vigorously pursue and resolve any charges of misconduct in scholarship.
- All parties must be treated with justice and fairness, bearing in mind the vulnerabilities of their positions and the sensitive nature of academic reputations.
- Confidentiality must be maintained to the maximum practical extent.
- Conflict of interest, real and potential, must be minimized.
- All stages of the procedure must be fully documented.
- All parties are responsible for acting in such a way as to avoid unnecessary damage to the general enterprise of academic scholarship. Nevertheless, the College may be required to inform appropriate funding agencies of its actions when the work is supported by outside grants. If it is found that misleading data or information have been published, the College is responsible for setting the public record straight, for example, by informing the editors of scholarly or scientific journals.

b. Inquiry

The purpose of this stage is to determine, with minimum publicity and maximum confidentiality, whether there exists a sufficiently serious problem to warrant a formal investigation. It is crucial at this stage to separate substantive issues from disagreements between colleagues (at Lake Forest College or elsewhere) that may be resolved without a formal investigation.

i. Initiating the inquiry

Any allegation of misconduct in scholarship, arising from inside or outside the College, should be referred directly to the Dean. The Dean may initiate an inquiry without a specific complaint if evidence of suspicious academic conduct has come to the Dean's attention.

When a complaint comes forth, the Dean's first job is to provide a confidential assessment. If, in the Dean's judgment, the issue involved does not amount to misconduct, satisfactory resolution through means other than this policy should be sought. However, if there is an indication that misconduct has occurred, the Dean must pursue the case even in the absence of a formal allegation.

The Dean should also counsel those involved that, should it be found at either the inquiry or the investigation stage that the allegations were both false and malicious, sanctions may be brought to bear against the complainant.

ii. Inquiry Procedure

The Dean is responsible for conducting the inquiry. The Dean may call upon one or two

senior persons in the field for help where specific technical expertise is required, but this need should be carefully weighed against the importance of confidentiality.

The Dean should notify the President as soon as possible, and may call upon College legal counsel at this stage. Every effort should be made to make personal legal counsel unnecessary for either complainant or respondent at this and all other stages, but all parties should recognize that the College counsel always acts on behalf of the institution, not one or the other parties.

An inquiry is formally begun when the Dean notifies the respondent in writing of the charges and process to follow. This and all other documents are to be preserved for three years.

The nature of the inquiry will depend on the details of the case, and should be worked out by the Dean in consultation with the complainant and respondent, with any colleague the Dean consults for assistance, and with College legal counsel. At this stage, every effort should be made to keep open the possibility of resolving the issue without damage to the position or reputation of either the complainant or the respondent. However, the Dean's primary responsibility is not to the individuals but to the integrity of academic scholarship and the College. If misconduct has occurred, it must not be covered up.

iii. Findings of the Inquiry

The inquiry should be completed, and a written record of findings should be prepared, within 30 days of its initiation. If the 30-day deadline cannot be met, a report should be prepared citing progress to date and the reasons for the delay; the respondent and other involved individuals should receive copies of the final report and any progress reports.

The inquiry is complete when a judgment is made about whether a formal investigation is warranted. An investigation is warranted if a reasonable possibility of misconduct exists. Written documentation summarizing the process and the conclusion of the inquiry must be preserved in the Dean's Office. The Dean must inform the complainant whether the allegations will be subject to a formal investigation. If a formal investigation is warranted, any agency sponsoring the research may be notified at this point. The reporting requirements are on file in the Dean's Office.

c. Formal Investigation

An investigation is initiated within 30 calendar days after an inquiry results in a finding that an investigation is warranted. The purpose of the investigation is to make a formal determination as to whether misconduct has occurred.

If an investigation is initiated, the Dean should decide whether interim administrative action is required to protect the interests of research subjects, students, colleagues, the funding agency, or the College while the investigation proceeds. Possible actions might include temporary suspension of the research in question, for example.

i. The Investigation Committee

The Dean shall appoint an investigation committee of at least three persons, with one of them designated by the Dean as chairperson. The principal criteria for membership shall be fairness and wisdom, technical competence in the field in question, and avoidance of conflict of interest. Membership of the committee need not be restricted to the faculty of the College in case outside expertise is judged to be necessary. The respondent and complainant should be given an opportunity to comment, in writing, on the suitability of proposed members before the membership is decided. The committee should be provided with funds and secretarial support if needed to enable it to perform its task. The Dean should write a formal charge to

the committee, informing it of the details of its task.

ii. The Investigation Process

Once the investigation committee is formed, it should undertake to inform the respondent of all allegations so that a response may be prepared. All parties, including the respondent, are expected to cooperate fully with the investigating committee. The Committee should call upon the help of College legal counsel in working out the procedure to be followed in conducting the investigation. The complainant and respondent should be fully informed of the procedure chosen.

Confidentiality should be maintained, except where limited information must be revealed to persons assisting the committee in order to allow a conclusive determination of the facts. Nevertheless, every attempt should be made to protect the reputations of all parties involved. A finding of misconduct must be by agreement of a majority of the full committee.

The investigation should be completed, and a full report prepared and submitted to the Dean, within 120 days of its initiation. (If this deadline cannot be met, an interim report of the reasons for delay and progress to date should be prepared.) A draft of any interim report and of the final committee report should be submitted to both complainant and respondent for comment before the report becomes final.

The respondent must be given the opportunity for a formal hearing before the investigation committee. College legal counsel should be called upon to assist in working out the procedure to be followed in conducting such a hearing.

d. Resolution

i. No Finding of Misconduct

Any federal agency or other entity initially informed of the investigation should be notified promptly. A full record of the investigation should be retained by the College in a secure and confidential file (but not in the personnel file of the respondent) for at least three years. The Dean should decide what steps need to be taken to clear the record and protect the reputations of all parties involved.

If the allegations are found to have been maliciously motivated, the Dean may wish to recommend to the President appropriate disciplinary action. If the allegations are found to have been made in good faith, precautions should be taken if necessary to prevent retaliatory actions.

ii. Finding of Misconduct

Any federal agency or other entity initially informed of the investigation should be notified promptly of the outcome. For faculty receiving a federal grant, the College must notify applicable granting agencies in writing within 10 calendar days after receiving notification from the faculty member of such conviction. The Dean should forward the committee report to the President with a recommendation of sanctions and other action to be taken. The President should review the full record of the inquiry and investigation.

Possible sanctions for faculty and staff include dismissal from employment by the College. Procedures for faculty dismissal for cause are found in the Faculty Handbook, Section I.C.2.b. and c. Sanctions against staff will be handled according to policies in the Staff Handbook.

For students, the sanctions recommended to the President might include suspension or termination of the privilege of being employed to do research, suspension or termination of the privilege of doing research as independent study for credit, failure in the research project for

which the student is enrolled for credit, suspension from the College, or dismissal from the College.

In addition to regulatory authorities and sponsors who require notification, parties directly professionally affected by the misconduct should be notified of the final disposition of the case and provided with any required documentation. The list may include the complainant; co-authors, co-investigators, collaborators; and editors of journals that have published fabricated, falsified, or plagiarized results.

10. Teaching Regulations

a. Class Syllabi

It is expected that every faculty member will work out carefully and give to the students early in the term an appropriately detailed syllabus outlining the objectives and the assignment schedule of the course. (See 8.c., "Class Attendance," for information regarding the establishment of specific attendance requirements.)

b. Class Meetings

(Faculty Personnel Policies Committee, February 21, 1977)

It is expected that except for the instructor's illness, professional activity, or personal emergency, classes will meet regularly at the scheduled time. Anticipated absences of a faculty member from the class are to be reported to the department chairperson or the Dean of the Faculty if the chairperson cannot be reached.

In any case of absence of a faculty member from a class because of professional activity, it is College policy that adequate arrangements be made so that actual class time not be lost.

Should professional activity require a faculty member to be away from campus for a week or more while classes are in session, the Dean of the Faculty must be fully apprised of the timing and nature of the activity beforehand.

Promptness in beginning and dismissing classes is important in maintaining the schedule.

c. Class Attendance

(Faculty Meetings of April 3, 1979, December 4, 1996)

Because classroom activities—lectures, discussions, questions and answers—assist students in the learning experience, it is normally expected that students will attend class sessions. Each member of the faculty has the prerogative of establishing specific attendance regulations which, in the instructor's opinions, are best suited to the course. To be in force these regulations must be given in writing to the members of the class at the beginning of the course. Instructors are at liberty, however, to waive their stated attendance requirements at their discretion, in individual cases, taking care to be consistent and fair. It is recommended that faculty encourage students to ask permission in advance of intended absences.

Students who miss class meetings because of participation in a "College-approved event" —so designated by the Dean of the Faculty—are officially excused but will be expected to make up any work missed and will be allowed to do so in a manner approved by the faculty member whose class is missed. If, in the judgment of the instructor, making up the work missed is not feasible, the student may not be penalized for the absence from the class.

No required classes are held on reading days.

d. Examinations

(Also see Statement on Academic Honesty)

On November 2, 1983, the Faculty approved the Statement on Academic Honesty, which states in part, "No test may be given prior to its originally designated time. The Dean of the Faculty may grant exception to this rule at the request of the faculty member."

Faculty will be expected to give a final examination in each course unless the nature of the course dictates otherwise. A faculty member who decides that a final examination will not be appropriate to a particular course should notify the head of the department well in advance of the examination period and give the reasons for the action. If a final term paper is to take the place of a final examination in a course, the students are entitled to have until the end of the scheduled time for the examination to submit their term papers. (Amended, Faculty Meeting, March 4, 1980)

As part of the above-mentioned Statement on Academic Honesty, the faculty passed the following regulation regarding final examinations: "An instructor who returns a final examination to students must send a copy of the examination to the library, which must retain it for three years and make it accessible to students."

On May 2, 1967, the faculty adopted the following resolution relative to the keeping of examinations and term papers by faculty:

Examination papers, particularly final examination papers and term papers, if not returned immediately to students, are to be kept at least for one term before they are destroyed so that they will be available for examination by students. It is understood that papers from the spring term will be kept through the fall term. Faculty members leaving the College are asked to leave their record books with the department chairperson, or if they do not wish to do so, to accept the obligation to keep these record books for at least a year in order that they will be available for checking records if this is necessary.

e. Student Papers and Writing

On May 15, 1962, the faculty adopted a resolution "strongly recommending that each student be required to write at least two short papers in each course throughout his or her college career, unless the course is not adapted to such a requirement," and "pointed out that such papers should be evaluated for content *and* form and that revisions should be required" where appropriate. It is clear that this resolution considers all faculty responsible for encouraging and maintaining good standards of written expression in all areas of the curriculum, and that careful attention to the quality of students' writing is indeed an integral part of faculty teaching loads.

A Pocket Style Manual, by Diana Hacker, has been chosen as the style guide for the College as a whole and is recommended for use wherever formal term papers are assigned. However, the College *Writing Manual* should prove adequate as a style guide for short papers, even including those requiring some research in secondary sources. Individual faculty and departments are at liberty to establish style criteria of their own, provided these approximate the accepted standards of the appropriate academic or professional discipline.

N.B. The College's Writing Center, established in 1975, expanded and relocated in 1977, provides assistance and instruction, for non-credit or credit, to students who want to improve their writing. Faculty are urged to refer students whom they consider in need of extra work in writing, to the Center's Director. They are also urged to talk to the Director, the staff of the Center, and the members of the Writing Program Steering Committee, and to attend periodic workshops, to enable them to deal with student writing as effectively as possible.

f. Student Assistants

(Approved by the Faculty February 18, 1964; amended April 1, 1992)

In the use of student assistants, the obligation for determining the requirements of a course rests with the instructor, likewise it is the instructor's exclusive responsibility to arrive at the student's final grade.

Instructors are expected to exercise care in selecting student assistants. They may permit assistants to evaluate homework problems or exercises which are "objective" – that is, where grading is essentially mechanical and does not require substantial professional expertise of the instructor. Instructors are expected nonetheless to supervise such grading to insure that it is done properly.

g. Academic Honesty

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

(The faculty adopted the following Statement on Academic Honesty on November 2, 1983; amended February 12, 1985; amended March 7, 2007)

Lake Forest College is committed to the highest standards of academic honesty. These standards reflect the core values of our institution and, thus, are reflected in our mission statement. The standards include integrity, respect, conscientiousness, self-discipline, and civility. Such standards are central to the process of intellectual inquiry, the development of individual character, and the maintenance of a civilized community. The integrity of academic life depends on cooperation among students, faculty, and administrators.

Academic dishonesty is any act in which a scholar fails to properly identify the sources of material used in his or her work.

Examples of Academic Dishonesty include, but are not limited to:

- Procuring in an unauthorized manner the questions or answers of any examination or employing unauthorized aids while taking an examination.
- Representing any work product as one's own that was done in whole or in part by another person or in collaboration with another person without attribution or proper citation.
- Engaging in any form of conduct or action that violates the letter or spirit of the College's Academic Honesty Policy, including but not limited to: copying, closely paraphrasing, or using another work without explicit acknowledgement of author and source.
- Submitting the same paper for credit in more than one course without the written consent of all instructors involved.
- Falsifying data, citations, or other information for academic work of any sort.
- Misrepresenting work done, including submitting a report on a performance or exhibit one did not attend.
- Aiding another scholar in the violation of the Academic Honesty Policy.

Responsibilities of Students

Every student is to uphold the ideals of academic honesty and integrity. Other responsibilities of students include:

1. Students are expected to know Lake Forest College's Academic Honesty Policy. Ignorance of the policy shall not be considered an excuse or a mitigating factor in Academic Honesty Judicial Board proceedings.
2. Students should consult faculty or staff members when they are unsure whether their actions would constitute a violation of Academic Honesty Policy.
3. In addition to the standards regarding academic honesty given in the Student Handbook, students are to heed all expectations regarding academic honesty as stated by their course instructors.
4. Students are expected to know what constitutes plagiarism. A handout explaining plagiarism is available at the Writing Center, the Learning and Teaching Center, and the reference desk of the library.
5. Student members of the Academic Honesty Judicial Board shall maintain the confidentiality of students accused of violating Academic Honesty Policy.

Responsibilities of Faculty

Every faculty member is to uphold the ideals of academic honesty and integrity. Other responsibilities of faculty include:

1. Every faculty member is to be acquainted with Lake Forest College's Academic Honesty Policy as outlined in the student and faculty handbooks.
2. Faculty are to maintain the confidentiality of students accused of violating Academic Honesty Policy, consistent with College policy and applicable governmental regulations.
3. Faculty and staff are to exercise caution in the preparation, duplication, and security of examinations.
4. No test may be given prior to its originally designated time. The Dean of the Faculty may grant exception to this rule at the request of the faculty member.
5. Faculty are to take reasonable steps consistent with the physical conditions of the classroom to reduce the possibility of cheating on examinations.
6. Classroom tests are to be proctored with diligence.
7. An instructor who returns a final examination to students is to send a copy of the examination to the library, which will retain it for three years and make it accessible to students.

Academic Honesty Judicial Board

Composition: The Academic Honesty Judicial Board (AHJB) is composed of a Chair and a pool of 6-8 faculty members and at least 8 students. The Chair is a faculty member selected cooperatively by the Dean of the Faculty and the Dean of Students. The pool of faculty members is appointed by the Faculty Personnel and Policies Committee. The faculty members should represent diverse divisions. The student members are selected using the following process:

- The Dean of Students solicits nominations from students, faculty and staff during the Spring term of each academic year (to serve during the subsequent academic year). Nominations must include a brief

description of the nominee's qualifications, and be submitted to the Dean of Students by the last day of classes of the Spring term.

- Nominations are vetted by the Office of Student Affairs. Nominees may not have violated the College's Academic Honesty Policy nor been found responsible for any student conduct policy violation. The Dean of Students may make exceptions in special cases.
- Nominees whose applications pass the vetting process are invited to submit a statement indicating their interest and qualifications.
- The Dean of Students and the Dean of the Faculty review applications and determine which students will join the AHJB beginning in the Fall of the next academic year. There is no maximum size to the pool – all students deemed qualified may be included. The Dean of the Faculty informs students of their addition to the AHJB over the summer.

Procedures: A faculty member may bring a charge of academic dishonesty against a student if, in his or her judgment, the student has violated the Academic Honesty Policy. The faculty member shall inform the student of the allegation in writing along with a recommended sanction. Faculty are encouraged to consult with the AHJB Chair regarding appropriate sanctions. The faculty member must allow an accused student up to five business days to consider the allegation and submit a statement admitting or denying the allegation, and agreeing or disagreeing with the recommended sanction.

If the faculty member is unable to contact the student despite making a good faith effort to do so, he or she should submit a formal charge and any other appropriate documentation to the AHJB Chair. In this case, the Chair informs the student of the formal charge and instructs the student how to proceed.

If an accused student admits to violating the Academic Honesty Policy and agrees with the faculty member's recommended sanction:

- The faculty member and student submit their respective statements to the AHJB Chair.
- For a first offense, the AHJB simply records the violation and sanction, notifying all appropriate parties (see "sanctions" below).
- For second and subsequent offenses, the AHJB meets to determine the sanction. The faculty member and student are invited to address the AHJB before sanctioning.

If an accused student denies violating the Academic Honesty Policy or disagrees with the faculty member's recommended sanction, the AHJB hears the case according to the following the procedure:

- The faculty member and student each submit a statement and evidence to the AHJB Chair.
- The Chair sets a date for the hearing, normally within one week of receiving the student's statement, and notifies the student by email and by registered campus mail or registered U.S. mail. The hearing date may be postponed at the discretion of the Chair. The Chair, upon consultation with the faculty member and the student, may summon a reasonable number of relevant witnesses to the hearing.
- Any party may consult with the Chair at any time.
- The student has the right to be assisted at the hearing by an advisor drawn from within the campus community.
- The hearing consists of the Chair (who does not vote) and of a jury of 3 faculty members and 4 student members from the AHJB. A finding of responsibility requires 4 votes out of the 7 voting members.

- In the event that the AHJB members agree on the finding of responsibility but are divided on the issue of an appropriate sanction, the AHJB first votes on the most severe of the contemplated sanctions, proceeding through lesser sanctions until a sanction receives at least 4 votes.
- Evidence must pertain to the charge as determined by the Chair.
- The Chair notifies the student and faculty member of the AHJB's decisions by registered campus mail or registered U.S. mail.
- When a case arises between semesters or during summer session, the AHJB ordinarily defers consideration until the following semester. However, the student involved may elect to have his or her case determined by an ad hoc AHJB convened by the Dean of the Faculty and drawn, insofar as possible, from the regular AHJB, consisting of 3 voting faculty members, 4 students, and a non-voting faculty Chair.

Sanctions: The faculty member, Dean of the Faculty, Dean of Students, Chair of AHJB, and the faculty advisor are notified of any sanctions assessed for Academic Honesty Policy violations. Furthermore, the Registrar is notified of any course failures. Suspensions or expulsions from the College are recorded on students' transcripts and in their permanent files.

- For first offenses, the expected minimum sanction is zero points awarded for the project, examination, or assignment. The maximum sanction is failure of the course. The sanction should also include one or more educational components, such as informational sessions with library or Ethics Center staff, or repetition of the assignment for no credit.
- For second offenses, the expected minimum sanction is failure of the assignment, an educational component, and suspension from the College for the following semester. If the AHJB recommends suspension from the College, this recommendation is submitted to the President by the Chair along with a recommendation regarding whether the College should accept courses taken at another institution while the student serves his or her suspension. The President then notifies the student and AHJB Chair of his or her decision by registered campus mail or registered U.S. mail.
- For third offenses, the expected minimum sanction is failure of the assignment and expulsion from the College. The Chair informs the President of the AHJB's recommendation. The President then notifies the student and AHJB Chair of his or her decision by registered campus mail or registered U.S. mail.

Withdrawals: See the section titled "Exceptions" under Course Procedures regarding withdrawals from courses in which charges of academic dishonesty have been brought.

Appeals: A student may ask the Dean of the Faculty to consider an appeal on procedural grounds only.

Student Evaluations: When a faculty member has brought a charge of academic dishonesty against a student, a note indicating that such a charge was made will be included with the student evaluations for that course.

h. Student Evaluations of Courses and Teaching

(FPPC, March 29, 1978. Amended February 7, 1995, February 13, 2008)

The faculty voted on September 3, 1986, to adopt a short questionnaire for course evaluation, to be used in all classes. This questionnaire is to be administered every term in every course (except for independent studies).

- The questionnaire should be distributed at the beginning of class at a meeting **before** the last regular meeting of the class.
- Responses will be anonymous and gathered in the classroom by a proctor, either another instructor or a member of the support staff, or a student.
- The proctor is responsible for submitting these forms to the Dean of the Faculty, who will send results to the chairperson and the instructor.
- If a student is the proctor, then the instructor is responsible for reading the Statement of purpose prior to distributing the forms.
- For classes with fewer than five students, the Dean of the Faculty's office will type all handwritten

responses to ensure confidentiality.

Instructors may examine their course evaluations, in the Dean of Faculty's office, anytime after grades for the course in question have been handed to the Registrar and after the forms have been tabulated. Fall evaluations are normally available to instructors by January 5, and spring evaluations are normally available by the end of May. The instructor can also grant anyone access to his or her evaluations by writing to the Dean of the Faculty Office.

A full-time faculty member's evaluations can also be read by the Dean of the Faculty and by the chair of the department or program in which the faculty member has been hired. Department and program chairs also have the right to read evaluations for any class that is fully funded by allocation to the departments or programs they chair. In the case of courses that are jointly funded by multiple departments and programs, the chairs of the relevant departments and programs may make standing agreements with one another and with the relevant faculty members to read the evaluations for particular courses.

Student evaluations are available for faculty examination in the Office of the Dean of Faculty at any time during regular business hours. This accessibility is adequate to the needs of most teachers most of the time. Once a professor has already read course evaluations, however, s/he may request that the director or faculty associates of the Learning and Teaching Center provide copies of evaluations for a particular course if s/he determines that would be helpful to understanding that course's dynamics and success or to assist in subsequent teaching. A professor who seeks to submit sets of evaluations to another institution, or who wants his or her own copies for use in a search, etc., may request that of the LTC director or associates as well. (FPPC, March 29, 1978. Amended February 7, 1995, February 13, 2008, and September 1, 2010)

The evaluation follows.

STATEMENT OF PURPOSE

Teaching is of primary importance at Lake Forest College. Your evaluation of the teaching in this course promotes outstanding teaching at the College in several ways. The instructor reads your evaluations so that she or he can consider student views when preparing to teach this and other courses in the future. Your evaluations are also read by those charged with evaluating your instructor, including the Dean of the Faculty and the chair of the department. They will become part of the instructor's permanent record, to be examined carefully by the Promotion and Tenure Committee when tenure and promotion are considered.

In order to avoid influencing your evaluation, the faculty member has been asked to make no prior comments about the evaluations and must not be present while they are being completed. Moreover, the instructor cannot read these evaluations until after the final grades have been submitted to the registrar. Thus you are encouraged to write honestly, knowing that what you write will not affect your grade.

Your responses should be your own. To insure this, talking, texting, or other communication during the evaluation is not permitted. Before you begin writing, please reflect on the strengths and weaknesses of this teacher and this course. Make your written responses as specific as possible. For numerical responses, remember that on this scale "1" represents the most positive response.

In an effort to conserve paper, the course evaluation form is now printed on two sides of a half sheet of paper. Please be sure to turn this smaller form over and complete the questions on both sides.

EVALUATION FORM

PLACE LABEL HERE

This evaluation is designed to provide constructive commentary on this course, the instructor, and your involvement in the course. It is crucial that students not influence or distract others who are filling out this evaluation form; please remain quiet until all forms have been collected. Completed forms are kept by the Dean of the Faculty. The instructor can read them only after final grades have been assigned.

Discuss the quality of this instructor's teaching. (Continue on reverse side if necessary).

How do you rate this instructor? Truly exceptional ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 Poor

Discuss the overall quality of this course. (Continue on the reverse side if necessary).

How do you rate this course? Truly exceptional ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 Poor

Evaluate your own involvement in this

As a member of this class, I was Responsible and productive ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 Involved very little

While preparing for this class and doing the other assigned work *outside of scheduled class and lab time*, I spent an average of ☐ 10 ☐ 9 ☐ 8 ☐ 7 ☐ 6 ☐ 5 ☐ 4 ☐ 3 ☐ 2 ☐ 1 Hours per week

Each student evaluation and the corresponding "Faculty Supplement to Course Evaluations" will be kept for 6 years, except that in the case of faculty who will be eligible for tenure consideration, all such materials will be kept until the tenure consideration is completed. After these specified times, the Dean of the Faculty may elect to destroy the materials.

i. Academic Evaluation and Appeal Procedure

Students shall be evaluated by their instructors solely on the basis of their academic performance, not on their opinions or conduct in matters unrelated to academic standards. Faculty members are expected to maintain rigorous academic standards that are consistent with the nature of their discipline(s), department(s), and program(s). While students are responsible for maintaining standards of academic performance established by their professors, they shall have protection against prejudiced or capricious academic evaluations. The appeal procedure to be followed in cases where a student does claim prejudicial or capricious grading is in the Student Handbook.

11. The Library

The library program rests at the heart of the instructional process at the College, enabling the student—across the whole curriculum—to apply precepts, ideas, and methods introduced in class to individual questions and projects which develop his or her ability for independent inquiry. Faculty as mentors model this process through their own teaching and personal research pursuits, which are facilitated by the library through connections to the world of knowledge in libraries in this country and abroad.

The College library is a member of the seventy-library consortium of the Oberlin-Group colleges—the strongest national liberal arts colleges.

a. The Structure of Resources Supporting Collegiate Educational Goals

- i. The Core Collection
- ii. Reference and Bibliographical Collection
- iii. Interlibrary Borrowing and Access
- iv. Use of Off-Campus Libraries

b. The Faculty and The Library Program

The lines of activity of the teaching faculty and the library program intersect at many points.

- i. Library Assignments in Courses – Teachers and librarians collaborate to build effective assignments into courses, across the curriculum, and at all levels.
- ii. Collection Management
- iii. Reserves- To ration high-use materials, faculty may designate reserve status—either at Circulation in Donnelley and Lee or in Donnelley and Lee's Audio-Visual unit.
- iv. Audio- Visual-Equipment and materials, (video viewing, camcorders, slide and overhead projectors, tape recorders, etc.) are available in the library's A-V unit and, on a limited basis, in classroom buildings.
- v. Faculty Members' Own Research- New faculty should consult early with the librarians on the structure of resource availability in their fields of interest. The faculty book loan period is sixteen weeks for College and ILCSO-library books, corresponding to the norm among the forty-plus cooperating ILCSO libraries. A limited number of renewals usually are accommodated, around the needs of other users; recalls for other patrons require faculty to return items. Faculty are responsible for the return or replacement of College and ILCSO-library materials they have borrowed.
- vi. Gifts- Faculty *donations* to the libraries have been a significant factor in the development and maintenance of the core collection.

12. Evaluation of Departmental Curricula

(Policy approved at Faculty Meeting of November 6, 1991)

A departmental curriculum review assesses both the department's major and minor program and its service or general education courses.

Analysis of the major should address three questions. What should the coverage of the discipline ideally include at the undergraduate level? What coverage is actually possible, in light of the background, interests, and size of the department's faculty? And what is the connection of the major to the goals of liberal education at the College, including cultural diversity?

These three considerations provide a context for assessing the current major program, and for planning improvements in it. Among the factors that the department should consider in performing its review are course enrollments and numbers of majors during the most recent seven-year period; the numbers of graduating majors who continue on to advanced degree programs in the discipline or related disciplines, within five years of graduating; overall academic performance of majors compared with that of students in other majors; perceptions by alumni of the value of the major five and ten years after graduating; the range of employment held by alumni; and attitudes of the faculty themselves toward each element of the major, and particularly toward the rigor of the major. Whenever feasible, data relevant to these issues will be made available by the Dean of the Faculty to the chairpersons by the start of classes of the review year. Specific conclusions based on these factors should be related to the structure of the major as a whole. The component structural parts that should receive close attention in the review include prerequisite and introductory courses; required courses beyond the opening sequence; the hierarchy or menu of advanced courses that are required for completion of the major; and the culminating senior-year exercise(s). Points of access (or denial of access) to the major require special attention, especially when courses in another department serve as prerequisites.

In assessing the department's contribution to general education, service courses require careful examination. The department should determine what fraction of the student population it serves at both lower and advanced levels, and should consider its service courses in the context of the College's general education requirements and principles for liberal learning. Assessment in these areas must be tied to assessment of the major itself, with a view to determining historical resource use and planning for the future use of resources.

Reviews occur on a seven-year cycle. During the fall term of a review year, every faculty member and student advisory group member should participate in a careful self-study of the department. Departments may define for themselves the details of the self-study process, provided that it includes the considerations and factors outlined above. The Alumni Office will provide support for the collection of data from alumni. A self-study report should be presented to the Dean of the Faculty not later than December 1, *emphasizing an evaluation of the recent past and including a curricular plan for the coming five years*. The plan should take into account prospective retirements.

The Dean will meet with the department, including student advisory group members, for discussion, and may ask for additional information or recommend modification of the five-year plan. If revisions are necessary, they should be submitted to the Dean not later than February 1. The Dean will send the report, as revised, to the members of Academic Resources and Review Committee (ARRC) and a team of 2 to 3 external evaluators, chosen with the advice of the department's faculty from among faculty at other ACM or GLCA institutions. If the evaluators believe that a site visit is necessary, the Dean and the department will arrange for one to occur in sufficient time for the evaluators to submit to the Dean a written assessment not later than March 1. The Dean will transmit the external evaluation to ARRC, which may confer with the department but by April 1 must either accept the report or return it to the department with suggestions for modification. A revised report must be resubmitted to ARRC not later than April 15, for approval not later than May 1.

If ARRC has reservations about a department's proposed plan, it will request a meeting with the department chairperson and may subsequently return the plan to the department for alteration.

B. FACULTY ADMINISTRATIVE POLICIES

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

1. Confidential Treatment of Records

(Amended September 1, 1987)

The College desires to protect its undergraduates and employees from improper disclosures of information, violating the confidential relationship appropriate between an educational institution and its personnel. Accordingly, it is our official policy *not* to send transcripts of record to other colleges or universities, to prospective employers, to government agencies or anywhere else *except* at the specific written request of the student or the graduate. The same policy applies to information concerning any student's activities outside the classroom: membership in organizations, disciplinary difficulties, participation in demonstrations, etc. These are matters of confidence, and the College will not disclose them to anyone unless the student authorizes such release. Any official written communication from the College should be requested in writing by the student. Informal verbal references in conversation or by telephone should be ruled by caution and restraint, seeking to protect the individual from disclosures that are properly matters of private record and not for public information. Any item that is already public, e.g., the fact of attendance at or graduation from the College, is obviously not confidential and need not be treated as such.

Any person on the College payroll deserves similar protection. No information should be transmitted to any source without specific request and authorization by the individual concerned.

On May 6, 1969, the faculty approved the following: "Materials submitted in support of application for admission must be confidential within the faculty and professional staff."

On April 4, 1967, the faculty approved the following: "To minimize the risk of improper disclosure of information, students' academic records should be kept separate from their disciplinary records. The face of students' academic records (and therefore a transcript of their record) should carry, in addition to the usual information concerning courses and grades, the statement that unless otherwise noted, the student is in good academic standing. Additional permanent notations on the face of the academic record should be limited to: academic probation, dismissal for academic reasons, and dismissal for non-academic reasons."

2. Office Hours

Each faculty member is asked to set up and keep regular office hours which should be posted just outside of the office door. Arrangements to see students by special appointment, when this is called for, should also be made.

3. Secretarial Services

Secretarial services are provided in classroom buildings. Members of the faculty may take tests, syllabi, and letters for typing and duplicating to the appropriate faculty secretary. Manuscripts will be typed, but materials for current class use and letters will have prior claim on secretarial time. Dissertations as well as non-academic manuscripts cannot be typed by faculty secretaries on College time.

Multiple copies of materials for distribution to classes, unless they are only two or three pages in length, cannot be completed on short notice. More extensive uncopyrighted texts must be requested well in advance of the time they are needed and are to be sold at cost through the College Bookstore.

4. Copying

a. Photocopying

Each department has a budget to pay for the copying of materials needed by faculty for their teaching. This copying can be done by the Printing Services staff where faculty are required to specify whether a given copying job is to be charged to the department or paid for in person (if the material to be copied is for private use). Alternatively, photocopying can be done, with the use of an auditron, at any copier in an academic building. Faculty may also make use of the machines in the library, either for cash or by charging the cost to the department. Faculty should exercise discretion and moderation in resorting to copying for classroom purposes. They should be especially careful to observe the Copyright Laws, recently passed by Congress, which impose difficult limits on the amount and type of copying of printed materials.

b. Copyright Law Guideline

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

The Copyright Revision Act, effective January 1, 1978, is designed to assure protection for the intellectual content of creative work, while permitting fair and reasonable dissemination of the work for legitimate use. According to the law's guidelines and definitions of what constitutes legitimate and fair use, faculty are permitted to reproduce published material for their own scholarly use, and for their students' use either on Library Reserve or in the classroom. However, they should exercise discretion in the amount and type of such uses. The following guidelines are intended to promote discretion and compliance with the law. When in doubt, faculty should consult with the librarians.

i. Permitted Copying

A single copy, for use in scholarly research or teaching, of:

- a chapter from a book
- an article from a periodical or newspaper
- a chart, diagram, graph, cartoon, or picture

ii. Illegal Copying

- A single copy, for use in scholarly research or teaching, of a whole book, if the latter is reasonably accessible for purchase or through library loan.
- Multiple copies of the same.
- Multiple copies of any of the items included under Permitted Copying above for classroom use *if it has been copied for another class* in the same institution.
- Multiple copies of a poem, article, story, or essay *from the same author* more than once in a class term, or multiple copies from the same collective work or periodical issue *more than three times a term*.
- A copy of separate works to take the place of an available anthology.
- Multiple copies of works more than nine times in the same class term (i.e., even if the criteria under Permitted Copying are observed, instructors should not put themselves in the position of having to hand out copies of as many as nine different items in the course of a term).
- A copy of consumable materials, such as workbooks.

It should be clear from the guidelines that the Copyright Revision Act is not intended to stifle the reasonable use of copying for the purposes of teaching and research. It is intended to protect authors and publishers from unscrupulous and thoughtless copying practices, and to encourage people to be sure they have made reasonable efforts to locate materials for purchase or loan, either for themselves or for their students, and not to use copying as a last-minute alternative to planning a course curriculum well enough in advance.

N.B. Similar discretion should be exercised in the use of videotaped materials.

5. Lake Forest College Network

(Effective February 8, 1994)

a. Acceptable Use Policy

General: The Lake Forest College network exists for the primary purpose of transmitting and sharing information. It is the policy of the College to provide the broadest possible access to the Internet to all members of the community.

Acceptable Use: All traffic originating at a College node, or connected via another network site, including state networks and other connections, shall be for purposes of, or in support of:

- research;
- education;
- state, local; or national government affairs;
- economic development; or
- public service.

Unacceptable Use: It is not acceptable to use the College network for any purpose which violates U.S. or state laws or other Lake Forest College policies.

It is not acceptable to use the College network so as to interfere with or disrupt network users, services, or equipment. Such interference or disruption includes, but is not limited to: distribution of unsolicited advertising; propagation of computer worms or viruses; and using the network to make unauthorized entry to other computational, information, or communications devices or resources. For a full statement of acceptable uses of Lake Forest College computing resources, please consult "Acceptable Use of Information Technology Resources at Lake Forest College", which is available either from the LIT office or under policies at www.lakeforest.edu/academics/LIT.

Enforcement and Violations: In case of an alleged violation of this policy, the Director of Library and Information Technology will provide an appropriate subcommittee of the Library and Information Technology Advisory Committee with an explanation of the nature of the violation together with supporting evidence. If this committee finds that the evidence and circumstances of the violation warrant further investigation, its chair will inform the appropriate campus judicial body and/or official and submit relevant materials. The subcommittee may also recommend the immediate suspension of College network services for any individual being investigated for violations of this policy. In the event that the entire Information Services Advisory Committee is unavailable to address a serious apparent violation of the above policy, the Director of Library and Information Technology will consult with those members of the LIT committee, as well as those principal administrators of the College who are available, to determine if the alleged violator should be immediately suspended from access to College network services.

b. Policy on the Establishment of New Network Services

Requests to set up network services, such as email, world-wide-web, ftp and news servers, should be made to the Director of Library and Information Technology. Requests should include cost, justification, hardware and software requirements and availability, and a list of contributors including the server administrator.

6. Telephones

(Effective August 1992)

Lake Forest College uses a Northern Telecom Meridian telephone system that makes available a range of special features. All faculty phone numbers are direct dial access from outside the college. For information about how to use the telephone system, faculty are referred to the Telecommunications Analyst of Information Technology, which is responsible for management of the telephone system.

All phones in the system restrict outgoing calls based on the location being called. Faculty may make calls within the 847 area code (Greater Chicago) and the 312 area code (Chicago proper), of both a professional and personal nature, by dialing 9, followed by the required number. Faculty placing calls outside the area codes of 847 and 312 are required to use an authorization code, which is assigned by LIT. No calls will be placed through the college switchboard. Personal calls may be made only in the 847, 312, 630, 708 and 773 areas.

Faculty are also provided with a voice message mail box associated with their telephone extension. Faculty are encouraged to password-protect this voice message mail box to ensure others do not listen to their voice mail.

7. Mail

(Amended September 1, 1987)

The faculty are assigned box numbers and combinations by Mail Services, and the mail boxes are located in the Mohr Student Center and Stuart Commons. Faculty members are asked to check their assigned mail boxes regularly since announcements as well as United States mail are distributed through these boxes. Faculty should give box numbers and combinations to individuals who pick up their mail. Faculty living on campus need not put LFC as return address or it will go to the campus Mail Room.

Outgoing College mail should be deposited at 3:00 p.m. in order to have metered postage attached. The slots for deposit of United States mail and campus mail are located in the Mohr Student Center and Stuart Commons, below the Mail Room window. The name of the office or department sending the mail should be placed on the envelope.

Personal mail may *not* be deposited without proper postage stamps, nor may College stationery be used for personal mail.

Only First Class mail is forwarded; all other is discarded. Mail Services uses the address in the directory to forward mail. If another address is appropriate, please notify Mail Services. Faculty members who will be on leave or in off-campus programs should notify Mail Services as to what should be done with their mail and provide pre-addressed forwarding labels.

For further information and procedures please consult the Mail services brochure.

8. Bookstore

(Amended September 1991)

The campus Bookstore, located on the lower level of the Mohr Student Center and Stuart Commons Building, supplies all required and recommended course material, as well as paperbacks, art and school supplies, cards and small gift items. Newspapers are available and will be held daily on request. The Bookstore is managed by Follett Stores. A Bookstore Committee, consisting of one faculty, two students, two administrators, and one representative from Follett Stores, advises the College administration on the Bookstore's operation.

Basic office supply materials, such as pencils, pens, paper and examination booklets, may be obtained at the Bookstore and charged against the appropriate departmental budget, following departmental guidelines. Such items are listed on a charge slip to be signed by the faculty member.

Since most publishers will supply desk copies free, the Bookstore has prepared forms that can be used to order these desk copies. They should, of course, be ordered in plenty of time so that they are here when classes begin. In a few cases, particularly when the texts are hardbacks or are imported, desk copies may not be available. We do not want a faculty member to have to pay for the textbooks used in the course and in these cases the College will purchase the textbooks, but we do not like to have to pay for those copies that will be supplied by the publisher. **Any textbook taken from the Bookstore must be signed for by the faculty member. The book will be charged until it has been replaced by a desk copy.**

The Bookstore welcomes special orders for books and supplies from both faculty and students. Faculty and their families receive a 10% discount on purchases for personal use over \$1.00, except sale merchandise. The Bookstore accepts VISA, MasterCard, and Discover credit cards, as well as personal accounts.

Hours: First week of classes, fall and spring terms, 8:00 a.m. – 7:00 p.m.; Regular hours: Monday, 8:00 a.m. – 6:00 p.m.; and Tuesday through Friday, 8:00 a.m. – 4:30 p.m.

9. Van Reservation Policy

(December 1, 1998)

The Facilities Management Department has vans available for rent to College-funded student groups with advisors. To ensure proper approval has been obtained, students, faculty, and staff must complete a van reservation form available in Facilities Management. Rental Van policies and procedures are published in Section III of the *Student Handbook*. However, please keep in mind the following guidelines:

- a. Vans may be used only for College-funded or College-sponsored activities. All programs must be approved by a faculty or staff member. If the faculty or staff member is accompanying the van, no further approval is required. If the faculty or staff member is not accompanying the van, additional approval by a pre-approved College representative must be obtained.
- b. Only persons registered as drivers with Facilities Management (after completing an approved drivers' safety program) may drive a van.
- c. Only Lake Forest College students, faculty, and staff may ride in the van.
- d. Reservations for vans must be made at least 24 hours in advance. Cancellation fees will apply to those who cancel usage within less than eight hours of the planned reservation.
- e. Any overnight, round trip in excess of 250 miles or a trip requiring one-way driving in excess of four hours must be accompanied by a registered driver over 25 years old with a valid major credit card.
- f. Report all accidents and/or damage to the vehicles to Facilities Management and Campus Security immediately.
- g. No alcoholic beverages or controlled substances are permitted in College vehicles whether they are being consumed or merely transported.
- h. No reservations will be considered without a completed reservation form.

In case College vans are not available, faculty are cautioned against renting non-College vehicles in their own name. Rather they should rent in the College's name after obtaining a purchase order from the Business Office. All the van rental policies stated in the *Student Handbook* apply to vehicles rented outside the College for College-funded and College-sponsored activities.

10. No Smoking

No smoking is allowed in any classroom, seminar room, studio, laboratory, library public area, the auditorium, the field house, or the chapel. (Please refer to the *Student Handbook* for the No-Smoking Policy.)

As a result of an ordinance passed by the Lake Forest City Council, which took effect Friday, September 1, 2006:

- a. Smoking is prohibited inside any and every building on campus. This includes the grounds shed, the carpentry shed, faculty offices, in other words, in any and every enclosed space on campus.
- b. Smoking is prohibited inside all College-owned vehicles, including all FacMan and Public Safety vehicles.
- c. Outdoor smoking on our campus is prohibited in the following areas:
 - Within 25 feet of any entrance to any campus building (including all residence halls)
 - In the stands of Farwell Field
 - On the patio outside the Mohr Student Center

People who wish to smoke may do so outside as long as they are more than 25 feet from a building entrance.

By virtue of a state law signed by Governor Blagojevich in May 2006 (SB 2465, which amended the Illinois Clean Indoor Air Act), smoking is now prohibited in ALL residence halls, including the south campus apartments.

11. Drug-Free Workplace Policy

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

Pursuant to the requirement of Public Law 100-690, Lake Forest College issues the following statement regarding a drug-free workplace:

Lake Forest College expects its faculty, staff and student employees to report for work free of the influence of illegal drugs at all times during the performance of their duties, to refrain from their use and to obey related laws established and enforced by legal authorities.

a. Conditions

No employee shall unlawfully manufacture, distribute, dispense, possess, transfer, or use a controlled substance in the workplace or wherever the work of Lake Forest College is being performed.

As a condition of employment at Lake Forest College, employees will abide by the terms of this policy and will notify the College if convicted under any criminal drug statute for a violation occurring in the workplace no later than five days after such conviction.

b. Definitions

- i. **Employees** – This prohibition covers all employees, including part-time and student employees.
- ii. **Workplace** – The workplace is any site on or off campus where the work of Lake Forest

College is being performed.

- iii. **Controlled Substances** – Controlled substances are those substances whose distribution is controlled by regulation or statute including, but not limited to, narcotics, depressants, stimulants, hallucinogens, and marijuana.

(A complete definition may be found in Schedules I through V of Section 202 of the Controlled Substances Act [21 U.S.C. 812], and as further defined by regulation at 21 CFR 1300.11 through 1300.15.)

c. Consequences of Violations

Employees found in violation of the prohibitions set forth under "Conditions" will be subject to disciplinary action, up to and including termination. Each case will be evaluated on an individual basis; disciplinary action will be dependent on the severity of the violation and the circumstances involved.

Employees who receive a criminal drug statute conviction for a violation occurring in the workplace will be subject to disciplinary action by the College, up to and including dismissal. Additionally, employees may be required to participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

12. Drug and Alcohol Abuse Prevention Policy

(Required by the Federal Government for a drug-free school)

Pursuant to the requirement of Public Law 101-226, Lake Forest College announced and implemented the following statement regarding a drug-free school in October 1990.

a. Prohibited Conduct

The unlawful possession, use, or distribution of illicit drugs or alcohol by students and employees on College property or as part of any College activity is prohibited.

b. Applicable Legal Sanctions

- i. The Illinois Criminal Code classified drug-related offenses (e.g.: Manufacture or delivery of a controlled substance, engaging in a calculated criminal drug conspiracy, drug trafficking, unauthorized possession, etc.) as either Class A misdemeanors or Class 1, 2, 3, 4, or X felonies depending upon the severity and nature of the conduct. The following criminal penalties are applicable to the identified categories of offenses:

Category of Offense	Monetary Fines	Imprisonment
Class A Misdemeanor	\$ 1,000	Up to 1 year
Class 4 Felony	Up to \$ 15,000	1 to 3 years
Class 3 Felony	Up to \$150,000	2 to 4 years
Class 2 Felony	Up to \$200,000	3 to 7 years
Class 1 Felony	Up to \$250,000	4 to 15 years
Class X Felony	Up to \$500,000	6 to 60 years

- ii. The applicable Federal penalties and sanctions for illegal possession of a controlled substance are given on the attached Appendix A.

c. Counseling Services and Rehabilitation Program

The use of illicit drugs and the abuse of alcohol may result in serious health consequences. A description of health risks associated with substances covered by the Controlled Substances Act (21 U.S.C. 811) is given on the attached Appendix B. A summary description of health risks associated with alcohol is given on the attached Appendix C. For additional information, consult pamphlet, Drugs and the Body, which is available in the Personnel Office. Students experiencing problems with drug and alcohol abuse are encouraged to seek assistance in the Counseling Center. The Center offers individual counseling and may offer peer Counselors and Drug and Alcohol Support Groups for additional assistance. Employees with group health insurance coverage should refer to the booklet, Summary Plan Description, Lake Forest College Point-of-Service Plan, for coverage on drug and alcohol treatment. In addition, the Personnel Office has available as a reference resource, Human Services for Lake County People.

d. College Sanctions and Penalties

Lake Forest College employees and students found in violation of the prohibitions set forth in their respective Handbooks will be subject to disciplinary action up to and including termination or suspension and possible referral for prosecution. Each case will be evaluated on an individual basis. It is possible a disciplinary sanction may include the completion of an appropriate rehabilitation program.

e. Biennial Policy Review

This policy will be biennially reviewed by College Council to determine its effectiveness and to recommend changes to the program to the President if they are needed. Such a review will also determine that the College's disciplinary sanctions are consistently enforced.

13. Safety

The College's Mission Statement provides that "we enable students, faculty, trustees, and administrators to solve problems in a civil manner, collectively." The policy below was written with that statement in mind; however, not all community members are comfortable addressing each other on all topics. Campus Conduct Hotline (see appendix D) is a confidential, independent, call-in service that provides a simple, anonymous way for individuals to preserve the values and mission of Lake Forest College.

Lake Forest College is subject to the Federal Occupational Safety and Health Act of 1970. The purpose of this Act is to assure safe and healthful conditions of work for everyone. Since we are required to maintain injury and illness records, your concern for safety and your cooperation in reporting is essential if we are to have an effective program.

Each faculty member is asked not only to exercise care but to report dangerous working conditions such as slippery floors, inadequate wiring, sidewalk hazards, etc. Everyone is asked also to report accidents on forms available from the Personnel Office and to attend meetings and films on safety and health when they are offered. Those in charge of laboratories, in particular, are asked to know the appropriate safety regulations and see that they are observed.

Weapons Policy

(Approved by Faculty, May 6, 2009)

Lake Forest College is committed to providing a safe environment for work and study. Violent behavior and threats of violence are strictly prohibited on College property. The possession or use of weapons of any kind, including firearms and explosives, is also expressly prohibited on College property or while involved in College-related activities, except as authorized by Public Safety. As any object has the potential to become a weapon, the College reserves the right to define a "weapon" based on its potential for damage or threat. Replicas and facsimiles of weapons are similarly prohibited. Any weapons found may be immediately

confiscated. In addition, claims of possessing a weapon or explosive will be responded to as an actual threat, whether or not evidence of said weapon or explosive exists. This prohibition applies to all students, employees, independent contractors, and visitors. Violators of any part of this policy will be subject to disciplinary action which may include immediate removal from the premises or dismissal from the College. When warranted, violations will be referred to local law enforcement officials.

Hazardous Materials

(Approved by Faculty, May 6, 2009)

Other than for educational purposes, Lake Forest College community members may not possess or use materials and articles that can create hazardous conditions on College property. Removal of laboratory chemicals or hazardous materials from academic buildings must be intended for academic purposes and endorsed by a faculty member. College Public Safety personnel and health safety staff will determine what materials and situations constitute hazardous conditions. This prohibition applies to all students, employees, independent contractors, and visitors. Any hazardous materials found may be immediately confiscated. Violators of any part of this policy will be subject to disciplinary action which may include immediate removal from the premises or dismissal from the College.

14. Liability Insurance Coverage

(Issued by the Vice President for Business Affairs on October 31, 1988, at the request of College Council)

Lake Forest College is a corporation. As such it maintains insurance coverage to protect itself and its employees when they are performing their duties as an employee. The coverage provides attorney fees as well as liability coverage to specified limits. Areas of specific interest are as follows.

Automobile

College vehicles are covered by the general College insurance when driven by an authorized driver for a permitted use. If the use is improper, or by an improper driver, the College insurance would be primary, but it is fair to assume our insurance company would seek recovery of damages from the driver.

A personal car used for a College purpose **does not** have College insurance coverage. If an accident occurs with a personal car while on College business the first coverage is the individual's personal insurance. The same applies to student cars, but here a faculty member may have an additional exposure. If the faculty member lets a student drive a student car on a College event and does not check to see if that student has a driver's license, insurance, and a generally appearing safe car, it is possible that a judge or jury may look to the faculty member for some damages, especially for innocent passengers.

General accidents

An accident in a lab, athletic field, the radio station, at the Mohr Student Center and Stuart Commons, the Library, and any number of such events would be covered, again if in the general performance of a duty within the scope of your employment as a faculty member of the College. Insurance for accidents at an internship location would provide coverage to the College, the student and the faculty member—again, so long as they are acting within the scope of their duties.

Other

The College carries a number of miscellaneous liability coverages such as libel, slander, defamation of character, false arrest, malicious prosecution, corporal punishment and sexual misconduct. For these exposures our policy covers as insureds the College and the faculty member, but again, only while acting within the scope of employment.

A faculty member not authorized to coach in the athletic department but who does so is not acting within the scope of faculty duties and would not be covered.

In the event of an accident, it is advisable that the faculty or staff member/s involved make factual notes of the situation as soon as possible. Editorializing, fixing blame, or bringing in weakly-related facts could cause problems in the event of a law suit. Remember that you and/or what you have written can be subpoenaed. It will be up to the judge or jury to assimilate the facts and come to a decision, not you. If you put observations or conclusions into a report it can be turned pretty easily to benefit either side. Just make notes that will help you remember what happened, even if a few years later. Such things as date, situation (how soon were paramedics called and arrived, etc.) and emergency procedures used are examples. Stating that "the paramedics arrived quickly" is a judgment, but noting they were called at 12:02 and arrived at 12:10, or that they arrived in approximately 10 minutes, are facts. Write these notes for yourself as soon as you can after the incident.

CAUTION

There is always a chance that a judge or jury will rule that a person is guilty of willful and wanton negligence.

If that is judged the case, a penalty may be assessed directly on the faculty or staff member even if they are doing their assigned duty and the insurance carrier is not permitted to reimburse. This is relatively rare, but if an obviously drunk student was told to drive a group on a snowy day, this could fall under such negligence.

When dealing with students relative to liability, just put yourself in the shoes of a parent and govern yourself accordingly. Accidents will happen in the normal course of events, but what no one wants are accidents that could have been averted with reasonable action, watchfulness and control.

You may wish to review your personal insurance coverage with your carrier to be sure that your limits are high enough.

15. Emergency Weather Policy

(February 8, 1995)

Severe weather conditions occasionally require the closing or early dismissal of the Lake Forest College campus for most teaching, administrative, and public event activities. Lake Forest College is a residential school and cannot close completely; students expect and must be provided minimum services. Therefore, some employees will be expected to work during a weather emergency.

During emergencies that may not warrant closing the College, employees are encouraged to be as flexible as possible in adhering to the normal work schedule while supervisors are encouraged to consider the safety of the employees.

Closing of the Campus Prior to the Beginning of the Normal Workday

Responsibility for the decision to declare an emergency closing of the campus rests with the President. Second in Command is the Dean of the Faculty, who will make the decision in the President's absence. When a closing is declared:

- a. Classes are cancelled.
- b. Most administrative offices are closed.
- c. All buildings/functions are closed/cancelled with staffing as determined by relevant College offices, except residence halls, Facilities Management, Security, Library, Cafeteria, Sports and Recreation Center, Switchboard, Health Center, Dean of Students Office.

The President will make the decision to close by 6:00 a.m. As soon as a decision to close has been made, the President or the Dean will immediately notify the Security Department and an announcement will be broadcast on WKRS 1220 AM, WBBM 780 AM, and WIIL 95.1 FM. The Business Office will broadcast a voice mail message announcing the close to all campus phones. Individual employees may call Security, but departments are advised to establish a telephone tree to ease communications.

All Administrative staff and faculty are exempt employees of the College. Unlike non-exempt (biweekly) employees, salary is unaffected by the Emergency Weather policy. This policy is included for its procedural

information only.

When the College Does Not Close

When the College is open, yet the National Weather Service issues a travel advisory for the Chicago area, the **President may declare** the day an Emergency Weather Day.

Early Dismissal During the Day

The intent here is to keep travel safe for employees. The Business Office will notify departments when employees are to be released via broadcast voice mail. Supervisors are responsible for ensuring that employees without phones are notified.

16. Security

The College recommends that faculty lock the doors of their offices when they are unoccupied and to keep secretaries' offices, equipment rooms, and laboratories locked except when they are in use. Outside doors of buildings should be kept locked when they are scheduled to be closed. When a faculty member uses his or her outside door key to enter a building, he or she should be careful to see that the door is locked after use. Classroom doors do not have to be locked during the day, however classrooms with expensive equipment should be locked during quiet hours.

Keys for offices, classrooms, and laboratories are available to faculty upon requisition from the office of the Facilities Management. The Chair of the Department requests keys by completing an electronic form that is sent to the Dean of the Faculty, whose approval is required. Faculty may request that keys be issued to individual students to enable them to enter rooms in classroom buildings, but each requisition must be signed electronically by the faculty member, the student, and the Dean of the Faculty. Master or sub-master keys are not issued to students, and faculty members are asked *never* to lend such a key to a student. The fine for the loss of a key or failure to return the key is \$50.00 per key.

17. AIDS Policy

Please consult the *Student Handbook* for these policies.

18. Administration of Academic Departments

(March 2, 1976; October 3, 1984; February 1, 1995)

Academic departments are basic administrative units of the College headed by persons of either sex under the title of Chairperson, who are appointed by the Dean of the Faculty for three-year terms which are, in principle, renewable and, at intervals, repeatable. In departments that have other faculty clearly qualified to carry out the responsibilities, an endeavor may be made periodically to replace the chairperson in order to share the honor, the opportunities, and the responsibilities of the position, and to encourage new outlooks.

The title of chairperson does not carry with it additional remuneration. Course loads for chairpersons are negotiated with the Dean of the Faculty.

a. Responsibilities of Chairpersons

Chairpersons assume the primary responsibility for creating and maintaining, in their respective departments, environments that stimulate reflective and critical learning as a common endeavor of faculty and students. They also are primarily responsible for creating and maintaining, for faculty and students, conditions that favor the discovery and the development of outlooks, interests, and abilities in their respective disciplines in relation to the larger liberal arts program.

The Chairperson is thus asked to:

- i. review and develop the departmental curriculum;
- ii. encourage departmental faculty research and professional development;
- iii. recruit and orient new faculty;
- iv. encourage improvements in teaching;
- v. determine and respond to departmental and individual needs;
- vi. determine and respond to the concerns of students in the department;
- vii. coordinate departmental programs with extra-departmental curricula and activities;
- viii. hold regular meetings of the department in order to involve faculty in departmental affairs;
- ix. arrange consultations and meetings with the student academic advisory committee, as required by College governance;
- x. be responsible for departmental administrative matters, including the development and submission of a proposed annual budget, and the monitoring of the allocated budget;
- xi. consult with senior members of the department faculty on matters of promotion and tenure;
- xii. write required reviews of departmental faculty.

The Dean of the Faculty is responsible for assisting and supervising the performance of chairpersons in office and for exploring with them ways and means of stimulating departmental and individual faculty development.

b. Chairperson Review

The Dean of the Faculty is responsible for gathering information relevant to the third-year review of chairpersons and for making decisions of appointment, reappointment, or replacement of chairpersons in their respective departments.

Review of approximately one third of the chairpersons will be made each year.

Chairpersons will be evaluated in the third year of their service. The evaluation will consist of both a review of the performance of the chairperson and a consideration of a possible replacement of the chairperson.

By February 15 of the third year of a chairperson's service, the Dean of the Faculty will solicit letters from and, if the Dean wishes, also interview each member of the department with the purpose of assessing the performance of the chairperson in fulfilling various responsibilities listed in the *Faculty Handbook* and the feasibility of other members of the department as possible chairpersons. On the basis of these letters and interviews and consultation with FPPC, the Dean shall appoint a person to serve as chair for the subsequent three years.

19. Review of the Director of Theater

(Amended by the Faculty October 03, 2007)

By January 15 of each year, the Dean of the Faculty will obtain an updated *vita* and, on a form provided, a description of the individual's administrative, academic, and service activities during that calendar year.

FPPC will initiate review of the Director of Theater, seeking the widest possible input from the campus community. The review committee shall be comprised of the Dean of Faculty, one member of the PTS, and one additional member of the teaching faculty, appointed by FPPC, who has reasonable contact and familiarity with the program directed by the person being reviewed. The committee's report will be submitted to the president.

In conducting the review, the review committee shall consider *vitae*, annual reports from the director about the program, program reviews, student course evaluations (if applicable) for the instructor, and will seek input from the constituencies served by the program directed. Reviewers may seek additional information as long as the person being reviewed is notified.

This director will be reviewed every four years; FPPC may delay a review should its workload necessitate that option.

Faculty concerns communicated to FPPC may result in a determination that a review is warranted earlier than scheduled; thus FPPC reserves the privilege of initiating a review at any time.

20. Review of the Dean of the Faculty

(Amended by the Faculty February 1, 1995 and October 03, 2007)

The president will initiate the review of the Dean of the Faculty, seeking the widest possible input from the campus community. All faculty (teaching and non-teaching), shall be invited to evaluate the Dean.

The Dean will be reviewed in the fourth year of service and subsequently every four years after that.

The evaluation process will consist of the following steps:

- a. The President will solicit evaluation letters from all department chairs, chairs of the Academic Resources and Review Committee, the Curricular Policies Committee, and the Faculty Personnel Policies Committee, and such other persons as the President shall designate. These letters will assess the performance of the Dean of the Faculty in discharging his or her responsibilities.
- b. The President may also wish to invite an external evaluator to assist in the review process.
- c. The President, after providing a summary of the evaluation letters, will consult with the Tenure and Promotion Subcommittee of the FPPC.
- d. The President will then meet with the Dean of the Faculty to review all the evaluations.
- e. The President will then determine whether to reappoint the Dean.

21. Review of the Dean of Students

(Adopted by the Faculty February 1, 1995, amended by the Faculty October 03, 2007)

The president will initiate the review of the Dean of Students, seeking the widest possible input from the campus community. All faculty (teaching and non-teaching), shall be invited to evaluate the Dean. The Dean of Students shall further be evaluated by students.

The Dean will be reviewed in the fourth year of service and subsequently every four years after that.

- a. The President will solicit evaluation letters from members of the Dean's staff, namely the Associate and Assistant Deans of Students. Such evaluations will also be solicited from the Directors of Campus Activities, Security, First-Year Studies, the Counseling Center, the Health Center and the Career Development Center, as well as from Chairs of various committees on which the Dean of Students serves, the teaching faculty and the First-Year Studies faculty. Finally, letters of evaluation will be sought from officers of Student Government and student representatives on College Life Committee and the Conduct Board and randomly selected students who have had contact with the Dean of Students.
- b. The President may also wish to invite an external evaluator to assist in the review process.

- c. The President, after providing a summary of the evaluation letters, will consult with the Tenure and Promotion Subcommittee of the FPPC.
- d. The President will then meet with the Dean of Students to review all the evaluations.
- e. The President will then determine whether to reappoint the Dean.

22. Review of the Athletic Department

(Accepted by the President, May 1, 1989)

a. Director's Annual Department Report

By June 1 of each year, the Director of Athletics is to submit to the President, and on request to College Council, a report of the Athletics Department. The report should summarize and review the vitality of the department's programs, note changes since the last report, discuss future plans (including plans to work with staff and students to improve the overall program), and indicate the relation of the total program to the educational mission of the College (including discussion of staff participation in campus-wide activities outside the Athletics Department). Where appropriate, this report should relate programs, changes, and plans to the most recent Department Review (see b. below). Among other material the report is to draw on are annual, systematic, anonymous evaluations of members of the Athletics Department staff by students who participate in the Department's programs, and other surveys of students' views. An appendix to the report should indicate the record of each team and the participation of students in the several sports and programs.

b. Program Review

During every fifth year, or sooner if deemed necessary by College Council, a review of the Athletics Department will be conducted by a review committee:

- i. Members of the review committee will be:
 - a) Dean of Students, or designate,
 - b) two members of the faculty, appointed by FPPC, who have been representatives to athletic conferences or who have had some contact with athletics at the College,
 - c) one member chosen by the President.
- ii. This committee, which will choose its own chair, will work from the following:
 - a) all Annual Department Reports prepared by the Director since the last Department Review,
 - b) information obtained from a meeting with the Athletic Council as a whole and, if the review committee desires, with individual members of it,
 - c) evaluations of the Department by all full-time members of the department,
 - d) a report from the Admissions Office evaluating the recruiting activity of the department,
 - e) the most recent Department Review.

By April 1, the review committee shall make a formal report to be submitted to the President and the Director of Athletics. The review will highlight strengths and weaknesses of the department and will make suggestions for improvement. The President and the Director will review the report together, determine appropriate changes in the program and then discuss the review and proposed changes with College Council.

This report will not be used in the evaluations of the Director or of members of the department for the academic year the report is submitted. The report will be part of the review process for members of the Athletics Department, in the next academic year.

23. Review of the Director of Athletics

(Amended by the Faculty October 03, 2007)

a. Annual Position Review

By January 15 of each year, the Director of Athletics is to submit to the President an updated *vita* and a description of his or her administrative, academic, and service activities during the previous calendar year. Full-time members of the Athletics Department should submit similar reports to the Director of Athletics by December 15. (These reports are available to the President on request.)

FPPC will initiate review of the Director of Athletics, seeking the widest possible input from the campus community. The review committee shall be comprised of the Dean of Faculty, one member of the PTS, and one additional member of the teaching faculty, appointed by FPPC, who has reasonable contact and familiarity with the program directed by the person being reviewed. The committee's report will be submitted to the president.

In conducting the review, the review committee shall consider *vitae*, annual reports from the director about the program, program reviews, student course evaluations (if applicable) for the instructor, and will seek input from the constituencies served by the program directed. Reviewers may seek additional information as long as the person being reviewed is notified.

This director will be reviewed every four years; FPPC may delay a review should its workload necessitate that option.

Faculty concerns communicated to FPPC may result in a determination that a review is warranted earlier than scheduled; thus FPPC reserves the privilege of initiating a review at any time.

24. Review of Director of the Library and Information Technology (LIT) and LIT Faculty (Approved by the Faculty, March 6, 1991; amended April 7, 1999 and October 03, 2007)

a. Review of the Director of LIT

FPPC will initiate the review of the Director of LIT, seeking the widest possible input from the campus community. The review committee shall be comprised of the Dean of Faculty, one member of the PTS, and one additional member of the teaching faculty, appointed by FPPC, who has reasonable contact and familiarity with the program directed by the person being reviewed. The committee's report will be submitted to the president.

In conducting the review, the review committee shall consider *vitae*, annual reports from the director about the program, program reviews, student course evaluations (if applicable) for the instructor, and will seek input from the constituencies served by the program directed. Reviewers may seek additional information as long as the person being reviewed is notified.

This director will be reviewed every four years; FPPC may delay a review should its workload necessitate that option.

Faculty concerns communicated to FPPC may result in a determination that a review is warranted earlier than scheduled; thus FPPC reserves the privilege of initiating a review at any time.

- i. The director will submit to the committee a file composed of the individual's *vita*, basic statistics concerning library and information technology services and use since the last review, and a report of the individual's service. The service report will include reference to the following duties, which the committee will use as the basis for their evaluation:

- a) fulfillment of the goals and objectives of the office,

- b) overall operation of facilities, including development and implementation of an annual budget,
 - c) in consultation with the staff and the Dean of the Faculty, review and maintenance of a written plan setting forth the organizational structure of the office, including job descriptions for the professional and paraprofessional staff,
 - d) supervision and annual evaluation of the professional and paraprofessional staff, based primarily on fulfillment of the duties and goals described in the organizational document,
 - e) establishment of library policies in consultation with the LIT professional staff and the LIT Committee,
 - f) maintenance of effective relationships with the LIT staff, the College community, and the broader library community,
 - g) coordination and development of the library's collection in response to the needs of the College's academic departments and new areas of instructional activity,
 - h) in consultation with the LIT staff, the Dean of the Faculty, and the LIT Committee, formulation of short and long-term goals that pertain to the effective operation of the office,
 - i) special duties as assigned by the Dean of the Faculty or the President.
- ii. The review committee will solicit evaluation letters from the LIT Committee, LIT faculty and staff, other members of the faculty (representing all divisions of the college), and selected student workers. After reviewing the evaluation letters, the Committee will meet with the LIT faculty to discuss relevant issues and concerns.
 - iii. On the basis of its review, the committee will make a formal recommendation to the President.
 - iv. The annual evaluation conducted by the Review Committee will be based upon the criteria as specified in I. above, as well as goals and objectives established by the Dean of the Faculty and the director.

b. Annual Evaluation of LIT Faculty

- i. Each year LIT staff members with faculty status will submit to the Director of the Office of the Library and Information Technology a description of their professional work during the prior calendar year. This self-evaluation will focus on library duties and activities, particularly as they relate to the job descriptions outlined in a.i.c). There will also be opportunity to report on professional development and community service. Self-evaluation forms will be distributed to the library faculty by the Dean of the Faculty when evaluation forms are distributed to teaching faculty. Completed forms should be submitted to the director by January 20.
- ii. After discussing a draft with each LIT staff member, the director will submit performance evaluations, including the self-evaluation, to the Dean of Faculty by April 1, with a copy furnished to each person evaluated.

25. Review of the Director of the Center for Chicago Programs

(Approved by the Faculty October 03, 2007)

FPPC will initiate review of the Director of the Center for Chicago Programs, seeking the widest possible input from the campus community. The review committee shall be comprised of the Dean of Faculty, one member of the PTS, and one additional member of the teaching faculty, appointed by FPPC, who has

reasonable contact and familiarity with the program directed by the person being reviewed. The committee's report will be submitted to the president.

In conducting the review, the review committee shall consider *vitae*, annual reports from the director about the program, program reviews, student course evaluations (if applicable) for the instructor, and will seek input from the constituencies served by the program directed. Reviewers may seek additional information as long as the person being reviewed is notified.

The schedule for review shall be as follows: A director will be reviewed the year after ARRC conducts a program review, if still serving as director.

Faculty concerns communicated to FPPC may result in a determination that a review is warranted earlier than scheduled; FPPC reserves the privilege of initiating a review at any time.

26. Review of the Director of Internships

(Amended by the Faculty October 03, 2007)

By January 20 of each year, the Dean of the Faculty will obtain from the director an updated *vita* and, on a form provided, a description of the individual's administrative, academic, and service activities during that calendar year.

FPPC will initiate the review of the Director of Internships, seeking the widest possible input from the campus community. The review committee shall be comprised of the Dean of Faculty, one member of the PTS, and one additional member of the teaching faculty, appointed by FPPC, who has reasonable contact and familiarity with the program directed by the person being reviewed. The committee's report will be submitted to the president.

In conducting the review, the review committee shall consider *vitae*, annual reports from the director about the program, program reviews, student course evaluations (if applicable) for the instructor, and will seek input from the constituencies served by the program directed. Reviewers may seek additional information as long as the person being reviewed is notified.

The schedule for review shall be as follows: A director will be reviewed the year after ARRC conducts a program review, if still serving as director.

Faculty concerns communicated to FPPC may result in a determination that a review is warranted earlier than scheduled; FPPC reserves the privilege of initiating a review at any time.

27. Review of the Director of Writing Programs

(Amended by the Faculty October 03, 2007)

By January 20 of each year, the Dean of the Faculty will obtain from the director an updated *vita* and, on a form provided, a description of the individual's administrative, academic, and service activities during that calendar year.

FPPC will initiate the review of the Director of Writing Programs, seeking the widest possible input from the campus community. The review committee shall be comprised of the Dean of Faculty, one member of the PTS, and one additional member of the teaching faculty, appointed by FPPC, who has reasonable contact and familiarity with the program directed by the person being reviewed. The committee's report will be submitted to the president.

In conducting the review, the review committee shall consider *vitae*, annual reports from the director about the program, program reviews, student course evaluations (if applicable) for the instructor, and will seek input from the constituencies served by the program directed. Reviewers may seek additional information as long as the person being reviewed is notified.

The schedule for review shall be as follows: A director will be reviewed the year after ARRC conducts a program review, if still serving as director.

Faculty concerns communicated to FPPC may result in a determination that a review is warranted earlier than scheduled; thus FPPC reserves the privilege of initiating a review at any time.

28. Review of the Director of Learning and Teaching Center

(Amended by the Faculty October 03, 2007)

By January 20 of each year, the Dean of the Faculty will obtain from the director an updated *vita* and, on a form provided, a description of the individual's administrative, academic, and service activities during that calendar year.

FPPC will initiate review of the Director of Learning and Teaching Center, seeking the widest possible input from the campus community. The review committee shall be comprised of the Dean of Faculty, one member of the PTS, and one additional member of the teaching faculty, appointed by FPPC, who has reasonable contact and familiarity with the program directed by the person being reviewed. The committee's report will be submitted to the president.

In conducting the review, the review committee shall consider *vitae*, annual reports from the director about the program, program reviews, student course evaluations (if applicable) for the instructor, and will seek input from the constituencies served by the program directed. Reviewers may seek additional information as long as the person being reviewed is notified.

The schedule for review shall be as follows: A director will be reviewed the year after ARRC conducts a program review, if still serving as director.

Faculty concerns communicated to FPPC may result in a determination that a review is warranted earlier than scheduled; FPPC reserves the privilege of initiating a review at any time.

29. Faculty Satisfaction Survey (First Administration, April 2007)

A survey to assess faculty satisfaction with various aspects of their work life, including the Dean of Faculty and the President, is administered bi-annually (Spring 2008; 2010; 2012; etc.) by the Director of Institutional Research; and the analyzed results disseminated by the Director of Institutional Research to the College Community.

SECTION III

FACULTY GOVERNANCE POLICIES

The complete governance plan adopted by faculty and students in March, 1996, is included in the *Student Handbook*. Faculty members are asked to refer to that publication for information about the structure of the governance, questions about composition and duties of committees, general governance procedures, election procedures, ratification and amendment procedures, and dissemination procedures of committee minutes.

A. FACULTY LEGISLATIVE BODY

The Bylaws of the College authorize faculty governance:

It shall be the function of the faculty to sit as a legislative body and, subject to the veto of the President, adopt rules and regulations governing the academic requirements of the student body and recommend the granting of degrees in course. The faculty shall keep a book of minutes of its meetings.

1. Meetings

(Faculty Meeting, April 15, 1980, approved by Faculty, May 6, 2009)

During the academic year meetings of the faculty are held regularly on the first Wednesday of each month. The last faculty meeting of the year is held the day before Commencement, at which time the faculty recommends the candidates for degrees. It is expected that all full-time faculty members attend all faculty meetings.

The faculty invite the current president of student government to observe faculty meetings, recognizing that she or he may be asked to leave the meeting at the request of the Dean of Faculty.

2. Voting

(Faculty Meeting, April 15, 1980)

Voting privileges are given to all faculty members holding full-time appointments at the College. The FPPC may grant voting privileges to a part-time faculty member who teaches at least half of the normal course load or has duties equivalent to half-time load, and who has served the College at least one year, if he or she applies for the privilege and assumes the responsibility of participating in departmental planning, accepting committee appointments, and attending faculty meetings.

3. Rules of Procedure

At its regular meeting on November 4, 1969, the faculty approved the following statement on procedure:

- a. That the faculty adopt *Robert's Rules of Order* (current edition) as its manual for parliamentary procedures, and that the faculty, because of its size, conduct debate in the manner described by Robert as "Informal Consideration"—since "formal debate" would, for example, limit any speaker to only two statements on an issue.

N.B. Since *Robert's Rules of Order* is adopted, the faculty should be aware that the following is in effect:

- i. A quorum is a majority of all members.
- ii. Suspension of the rules can be effected only by a 2/3 vote (2/3 of those present and voting).

- iii. Calling the previous question can be effected only by a 2/3 vote.
 - iv. There shall be no voting by proxy.
 - v. Rules that protect absentees cannot be suspended; e.g., no new business could be introduced at a meeting specially called for another purpose.
- b. That the faculty appoint a parliamentarian to rule on matters of procedure.
 - c. That regularly scheduled meetings convene at 4:30 p.m. and adjourn no later than 6:00 p.m. (amended by FPPC on February 11, 1997, effective fall 1997).
 - d. That substantive matters to be brought before the faculty must be channeled through committees, with the following provisions for exceptions:
 - i. Any individual, having presented an item to a committee for its deliberation and recommendation, who feels that the committee is not acting on the matter with sufficient dispatch, may, with at least one week's prior notice to the faculty in writing, request that the faculty at its next meeting vote on directing the committee to consider the matter and report on it within a specified period of time.
 - ii. Subsequent to this, if the committee reports back but recommends no action and if the individual is still dissatisfied, the individual may then request the faculty, again with one week's notice in writing, to suspend its rules and to consider his or her own proposal.
 - e. That committee reports requiring faculty action must be distributed in writing a week before the meeting at which the report is to be considered.
 - f. That if any committee has a proposal to bring to the faculty of such importance that it feels the issue should be supported by more than a simple majority of the faculty, the committee can make a corollary proposal that a 2/3 vote be necessary for passage of the proposal. The faculty would then vote on the procedural motion (a majority vote) before voting on the substantive issue.

4. Faculty Governance and Athletics (Approved by Faculty, 12/01/2010)

Lake Forest College has agreed by faculty vote (October 6, 2010) to abide by the procedures of the Midwest Conference (MWC). According to the Conference articles, the presidents of member institutions have the ultimate responsibility and final authority for the operation of the conference. A Faculty Representative, the Athletic Director, and a non-voting Athletic Representative from each member institution are tasked with formulating conference policy at semiannual meetings. The Faculty Representative and one Athletic Representative are voting members. When major changes in conference legislation are proposed, they must first be approved at two separate meetings of the Faculty Representatives and Athletic Directors. Proposed changes are submitted to a vote of the full faculty of each member institution. Faculty votes are then submitted for a final vote by the President's Council.

While the President is the final authority on athletics decisions according to MWC and NCAA rules, Lake Forest College faculty have a strong interest and involvement in decisions regarding athletics. Before deciding to uphold a Midwest Conference legislative proposal that the faculty has voted to reject or disapprove, or before deciding to reject a legislative proposal that the faculty has voted to approve, the President must first meet with the faculty, provide a fair opportunity to hear faculty views on the matter, and fully explain the reasons why he or she believes a decision in opposition to faculty vote is required.

5. Secretary of the Faculty

The Faculty Secretary, who records and distributes the monthly Minutes of faculty meetings, is elected by the

full faculty according to the following procedure, which was established by FPPC on November 10, 1978, amended April 5, 1989:

- a. in a year in which a Secretary of the Faculty is to be elected, the FPPC will nominate three faculty members; the Dean of the Faculty will send out ballots with the names of the three nominees, asking each faculty member to vote for one of the three;
- b. this election will not be held until *after* the final balloting for the elected committees; however, it will be held *before* recommendations are made for appointed committees;
- c. normally the person elected Faculty Secretary will serve two years.

B. FACULTY COMMITTEES

The College governance plan provides for the following standing committees, councils and boards:

1. College Policies

a. College Council

1. Purpose:

Provides a forum for the College's constituencies to discuss and deliberate about matters of importance to the College community. Considers and makes recommendations to the President and/or other officers of the College about issues that fall within its purview and refers other matters to the appropriate organ(s) of the College.

2. Duties:

a. Participates in the development of the College's annual operating and capital budgets, advising the President on budget priorities and later reviewing and recommending adjustments to a preliminary budget devised and presented to the Council by the administration. The Council shall schedule a special meeting for mid-June to advise the President on the size of the faculty, should he or she envision the necessity of decreasing the size of the faculty during the following two years. The quorum for this meeting is at least three faculty members (one from each division) and at least three other voting members. If absences are anticipated, the Faculty Personnel Policies Committee will appoint faculty replacements from the same division to meet quorum requirements; the President of Student Government will appoint a student representative; and the most recent former staff member(s) available will be designated as replacements.

b. Serves as the organ of governance that promotes and monitors ongoing planning at the College. At the beginning of each academic year, the Council considers a proposal from the administration on institutional priorities for the year, based on the then-existing strategic plan, and recommends in writing adjustments to that proposal. After considering these recommendations and presenting a follow-up proposal to the Board of Trustees, the President disseminates to the campus community a statement on institutional planning priorities for the year. When the timetable for the existing strategic plan is expiring, or earlier if deemed necessary, the Council will initiate the development of a new plan, recommending to the President the appointment of a task force charged for that purpose.

c. Considers specific problems and concerns brought to the Council, or to any of its members, by a student or faculty or staff member of the College. The Council then places a specific item on its agenda for deliberation if four voting members so request, except that those matters explicitly under the purview of other organs of College Governance should be referred to those bodies for consideration by them. The Council may ask to be kept informed about the result of deliberations on issues so referred.

d. Supervises and promotes the effective operation of all organs of College Governance, acting as a court of appeals in cases in which a substantial number of students, faculty, or staff contends that an organ of College Governance (including Student Government) has exceeded, violated, or not fulfilled its role.

e. Acts on amendments to the Governance Constitution (Article VII, Part B) and forwards them to the President.

3. Composition:

a. Three faculty members: one from each of the academic divisions, nominated and elected by the faculty in rotation to serve staggered three-year terms; at least one of these members must be untenured and at least one tenured.

b. Three students: the President of Student Government and two other students, elected by the student body to serve one-year terms.

c. Three staff members: including at least one non-exempt employee and at least one exempt employee, all elected by the full-time staff of the College in rotation for staggered three-year terms. (Individuals who have faculty status but not faculty rank are considered "staff" for purposes of this balloting and elected service. Staff who report directly to the President are not eligible for election.)

d. The President, who chairs the Council.

e. Guests: through the President, the Council may invite guests to attend its meetings, to assist with the performance of the Council duties; for example, the budget, strategic planning, and other matters deemed appropriate.

4. Procedures:

a. The Council will not ordinarily meet without the President. In case of emergency, it can be called into session and will be chaired by the officer of the College designated to act for the President in his or her absence or incapacity.

b. The President votes only in order to break a tie.

b. Faculty Personnel Policies Committee; Subcommittee on Promotions and Tenure Committee

1. Duties:

a. Advises the President in establishing policies for appointing, promoting, granting tenure, and formulating policies on fringe benefits, research grants, sabbaticals, and other faculty personnel issues.

b. Advises the President on specific cases of promotion and tenure, through its Promotion and Tenure Subcommittee.

c. Advises the President on faculty appointments.

d. Meets with the two student representatives to the Academic Resources and Review and Curricular Policies committees at least twice a year and considers with them the general policy guidelines established for appointments, promotion, and tenure.

e. Serves as an advisory committee to the President regarding candidates for faculty committees. The Committee shall, whenever possible, maintain effective continuity in committee appointments.

f. Appoints faculty members to the College Life Committee.

g. Recommends faculty members for election to trustee committees. In making these recommendations, the Faculty Personnel Policies Committee should choose representatives whose role in College Governance committees enables them to represent a link between on-campus governance and the appropriate committees of the Board of Trustees.

h. Consults with the Dean on the appointment or reappointment of department chairpersons. Each such position shall be reviewed by the Committee at least every three years.

i. Advises the President on specific applications for leaves.

j. Recommends faculty members for appointment to the Conduct Board.

2. Composition:

a. The Dean of the Faculty, who is also a member of the Promotion and Tenure Subcommittee.

b. Six faculty members to be elected as follows:

(1) Promotion and Tenure Subcommittee: three full professors with tenure (one to be elected each year), nominated and elected by the faculty at large to serve three-year terms. If the three-year term is fulfilled, the member will not be eligible for reelection to the Promotion and Tenure Subcommittee for three years. For service of less than three years, the member will be ineligible for reelection for a period equal to the time served. In no case shall two members of the same department serve on the Promotion and Tenure Subcommittee.

(2) Should it occur that no untenured faculty member is serving on the Faculty Personnel Policies Committee or elected to it, the member elected in that year (or if two are elected, the one chosen by the smaller number) shall be disqualified and a special election held in which untenured faculty shall nominate and all voting faculty shall vote to elect a nontenured faculty member to the Committee.

c. All eligible members of the standing Governance committees shall be eligible for election to serve on the Promotion and Tenure Subcommittee (and thus on the Faculty Personnel Policies Committee). If elected, the person must resign from his or her former committee.

d. Members of the Promotion and Tenure Subcommittee shall not participate in deliberations concerning promotion or tenure of faculty from their departments. The most recent available former Promotion and Tenure Subcommittee member should participate instead.

e. The Committee shall elect its own chairperson, who must be a tenured professor not also serving on the Promotion and Tenure Subcommittee. Should it be that no tenured faculty member (other than members of the PTS) is serving when a position on FPPC becomes open, only tenured faculty will be eligible for election.

c. Enrollment Committee

1. Duties:

a. Reviews at the beginning of every semester the data on enrollment, including admissions of new students and retention of previously admitted students, and financial aid awarded to students.

b. Solicits and evaluates ideas and concerns from the campus community regarding the recruitment and retention of an appropriate student body, including proposals from administrative offices for significant policy changes.

c. Selects a set of ideas and concerns for study and for possible action during the current semester.

d. Makes specific recommendations for action regarding those ideas and concerns to the appropriate administrative officers and governance committees and makes a report to the President and College

Council by the last day of classes each semester.

2. Composition:

- a. Three faculty members recommended by the Faculty Personnel Policies Committee, serving three years each on a staggered basis.
- b. Two students, recommended by the Executive Board of Student Government.
- c. The Dean of Students, the Director of Admissions, the Director of Institutional Research, and the Director of Financial Aid or their designees.

3. Procedures:

- a. The committee will be chaired by the faculty member with the most continuous committee seniority.
- b. Preliminary data on admissions, retention, and financial aid results for the current semester will be given to the chair of the committee by the Admissions Office, Registrar's Office, Financial Aid Office, and Office of Student Affairs within two weeks of the beginning of the semester. Complete detailed reports must be presented within one month of the start of the semester. It is expected that proposals from administrative offices for significant policy changes will normally be brought to the committee's attention the semester prior to their planned implementation.
- c. The President shall respond annually to a report from the committee.

2. Academic Policies

a. **Academic Resources and Review Committee**

1. Purpose:

Provides a forum for considering the allocation of academic personnel resources and assessing student learning and the performance of academic units and makes recommendations to the President, the deans, the faculty, and committees as relevant.

2. Duties:

a. format issue Annually considers the distribution of faculty personnel resources among departments and programs within the College, based on relevant data and a written proposal from the Dean of the Faculty, and makes a recommendation to the President.

b. In conjunction with the Dean of the Faculty, conducts scheduled curricular reviews of academic departments and programs and triennial reviews of the Learning and Teaching Center, Library and Information Technology Office, Writing Center, and Theater Program. Makes recommendations to the Curricular Policies Committee about curricular changes in academic departments and interdisciplinary programs.

c. Oversees the College's assessment process for student learning.

3. Composition:

a. Four full-time faculty members: one from each of the academic divisions and one at large, nominated and elected by the faculty in rotation to serve staggered three-year terms; at least two of these faculty members must be tenured, and no two of them may be from the same academic department.

b. Two students: for one-year terms, one elected by and from members of departmental Academic

Advisory Committees and one appointed from the General Assembly by its Executive Board. Each student must have a minimum cumulative GPA of a 2.0 at the time of the election.

c. The Dean of the Faculty.

d. The Committee shall elect its own chairperson. The chairperson shall be a tenured faculty member.

4. Special Procedures

Should the President recommend a reduction in faculty size during the two years following, the Committee shall schedule a special annual meeting for June, to occur after the relevant meeting of the College Council. The quorum for this meeting is at least three faculty members (one from each division) and at least one student. If absences are anticipated, the Faculty Personnel Policies Committee will appoint faculty replacements from the same division to meet the quorum requirements, and the President of Student Government will appoint a student representative.

b. Academic Appeals Board

1. Duties:

a. Rules on cases in which students appeal the Dean of the Faculty's interpretation of faculty rules or in cases in which faculty rules are unclear.

b. Considers and acts on cases and appeals of academic suspension and dismissal.

c. In extraordinary cases the Academic Appeals Board can grant exceptions to faculty rules, but only by unanimous vote of all three members. The Board must report a summary of its actions to the faculty once each term. This summary should include the rationale behind the Board's decisions in each specific case. These decisions may be appealed to the faculty at the initiative of the student.

d. Reports in detail to the Curricular Policies Committee at least once per term.

e. It is not the responsibility of the Academic Appeals Board to reconsider the judgments of either the Academic Honesty Judicial Board or the departmental review committees constituted to hear grade appeals.

2. Composition:

a. Three faculty members, appointed by the President on the recommendation of the Faculty Personnel Policies Committee. The Faculty Personnel Policies Committee also recommends which committee member shall serve as chairperson. Members are appointed to one-year terms.

b. The Dean of the Faculty and the Registrar serve as nonvoting members. The Registrar serves as secretary of the Board.

c. The Dean of Students, who shall meet with the Board when it hears or judges cases and appeals of academic suspension and dismissal.

3. Procedures:

a. Students must present their appeals in writing with supporting evidence to the secretary of the Board. Students have the right to make a personal appearance before the Board. If they wish to exercise this right, they must state this in their written appeal. The personal appearance is not for the purpose of bringing in new evidence or arguments but can be used only to clarify points made in the written appeal.

b. The Board shall give a written reply to students, informing them of the grounds for its decision.

c. The secretary of the Board shall receive appeals, distribute copies of the documents to committee members, keep all records, and handle all correspondence for the Board.

c. Curricular Policies Committee

1. Purpose

Discuss and formulate curricular policies and procedures and exercise oversight of curricular changes.

2. Duties:

a. Oversees the general education requirements of the College, including their implementation and proposed changes in requirements.

b. Reviews recommendations for curricular changes in academic departments and interdisciplinary programs.

c. Reviews proposals for new courses.

d. Oversees the academic calendar.

e. Oversees academic advising.

f. Oversees the First-Year Studies Program and the Richter Scholars Program.

g. Establishes new policies for the Academic Appeals Board as required and clarifies the intent of academic policies and rules at the request of the Board.

h. Establishes methods for regular student evaluation of courses.

3. Composition:

a. Three full-time faculty members: one from each of the academic divisions, nominated and elected by the faculty in rotation to serve staggered three-year terms.

b. Two students: for one-year terms, one appointed from the Executive Board by its General Assembly, one elected by and from the members of departmental Academic Advisory Committees. Each student must have a cumulative GPA of 2.0 at the time of election.

c. The Dean of the Faculty.

d. The Dean of Students.

e. The Committee shall elect its own chairperson, who must be a tenured faculty member. Should it be that no tenured faculty member is serving when a position on CPC becomes open, only tenured members will be eligible for election.

4. Procedures:

a. The Committee's decisions about curricular policies will ordinarily take the form of recommendations to the faculty, to be considered at a faculty meeting. Decisions about minor procedural changes, guidelines for the General Education Curriculum, and specific course offerings will not be submitted to the faculty. In those matters in which the Committee has delegated to the Dean of the Faculty the exercise of discretionary authority in interpreting academic policy, he or she will inform the Committee of such exercise.

b. The Committee establishes guidelines for courses that fulfill the general education requirements, annually reviews and approves such courses for the next academic year, and monitors the functioning of the General Education Curriculum.

c. Recommendations for curricular changes by departments or interdisciplinary programs must be submitted to the Curricular Policies Committee for evaluation. Automatic approval will be granted unless two-thirds of the membership of the Committee determines that the proposed changes have important consequences for the College's academic program, in which case the matter is placed on the Committee's agenda for discussion and action. Curricular changes to which the Committee has given automatic approval will not be submitted to the faculty.

d. Minor calendar changes are proposed by the administration, discussed with College Council, and reviewed and approved by the Curricular Policies Committee. Major changes are also submitted by the Curricular Policies Committee for consideration at a faculty meeting.

d. Assessment Subcommittee

Mission Statement

At Lake Forest College, our mission is to provide an educational experience of the highest quality for our students. The College's mission statement reflects an on-going process of re-evaluation, suggestions for improvement, implementation of modifications, and feedback to achieve this goal. The Assessment Subcommittee aims to facilitate this process by providing a structure for assessment, a support system for analyzing and interpreting data, and a means of communicating results of the assessment process to the College Community.

3. Campus Policies

a. College Life Committee

1. Purpose

Provides a forum for the College's constituencies to consider issues related to College life and makes recommendations to the Dean of Students.

2. Duties

a. Considers and recommends policies and programs concerning health, food, housing, counseling services, career planning, campus activities, athletics, social and recreational activities (including those that involve the use of alcohol), and athletic and recreational facilities.

b. Mediates and suggests courses of action when problems arise with the Stentor and, when necessary, makes recommendations to the President of the College before a controversy can harmfully affect the College community or the ongoing success of the publication.

3. Composition:

a. Four students: for one-year terms, three to be elected by the student body as a whole, and one to be appointed at large by the Executive Board of Student Government.

b. The Vice President of Student Government, who will serve as chair and vote only in a tie.

c. The Dean of Students, who will not vote.

d. The Director of Leadership and Community Involvement.

e. One faculty member: to be appointed by the Faculty Personnel Policies Committee from among academic departments for a two-year term.

f. Two members of the staff, appointed by the President, for staggered two-year terms. At least one of these members must be from the full-time coaching staff. (Individuals who have faculty status but not faculty rank are considered “staff” for purposes of these appointments.)

4. Procedures:

All recommendations of the committee are sent to the Dean of Students, who may act on those recommendations within his or her authority and pass on any other recommendations to the President or other appropriate administrative officer or committee.

b. Campus Sustainability Committee

1. Duties:

a. Considers and recommends policies and procedures on issues relating to the College’s efforts to be an ecologically sound campus.

b. Develops and implements educational programs and workshops for the College community, promoting awareness of the national and local issues affecting the status of the environment.

c. Assists in identifying and correcting actions or policies that have an adverse effect on the environment.

d. Monitors and audits the College’s recycling efforts, making recommendations for improvement where necessary.

2. Composition:

a. The chair of Environmental Studies and three faculty (one representative appointed from each division) on the recommendation of the Faculty Personnel Committee..

b. A representative from the Office of Student Affairs.

c. Four students (two to be elected by the student body at large, one appointed by the Executive Board, and the president of LEAP).

d. The Director of Facilities Management.

3. Procedures:

a. The chair of the committee is elected by the members of the committee..

b. All recommendations of the committee are sent to the President, who may act on those recommendations within his or her authority and pass on any other recommendations to other appropriate administrative offices.

c. Academic Advisory Committees to Departments and Interdisciplinary Programs

1. Duties include advising departments and major committees on:

a. curriculum

b. appointments

c. department policies, procedures, and activities

d. academic honesty

2. Composition

Three majors, elected at a meeting of all majors, who then select their own chairperson. It is the responsibility of the Dean of the Faculty to maintain in the Dean's Office an accurate list of the members of the committees. In the case of departments or programs not offering a major (for example, religion), three students shall be elected at a meeting of all students taking courses in these departments or participating in these programs.

3. Procedures:

a. Departments and interdisciplinary committees must meet with their Advisory Committees before making any recommendation to the Faculty Personnel Policies Committee regarding appointments and before submitting any plans for change in the curriculum to the Curricular Policies Committee.

b. A meeting of the department or interdisciplinary committee with its Advisory Committee shall take place at least twice a year.

c. The student chairperson or department may call a meeting.

d. First-Year Studies Committee

1. Duties:

a. Solicits proposals for First-Year Studies courses based on enrollment projections and reviews course proposals prior to review by the CPC.

b. Reviews curricular and procedural matters as well as content of First-Year Studies information mailed to incoming students.

c. Plans professional development and support for first-year studies faculty, such as spring and fall workshops and the Advisor Handbook.

d. Determines First-Year Studies activities that will take place prior to the beginning of classes (such as summer registration), and works with the Office of Leadership and Community Involvement to coordinate First-Year Studies programs (such as the Chicago Common Experience), with other Orientation Week events.

e. The Chair works with support staff on administrative tasks such as placing students in First-Year Studies classes and responding to student questions about the program.

f. The Chair oversees the budget and responds to individual faculty requests and concerns.

2. Composition:

a. The Associate Dean of the Faculty plus at least three more full-time faculty members appointed by the FPPC, selected so that each of the three academic divisions are represented.

b. The Dean of Students or designated alternate.

c. Two students, one sophomore and one junior, both of whom participated in FIYS seminars as first-year students, to be appointed by the Executive Board of Student Government.

d. A representative from Library and Information Technology.

3. Procedures:

- a. The committee is chaired by the Associate Dean of the Faculty.
- b. The committee meets as needed, but at least six times per year.

e. LIT Advisory Committee

1. Duties: advises the Director of the Office of Library and Information Technology on issues concerning library and information technology services, policies, and procedures.

2. Composition:

- a. Three faculty members, one from each division, recommended by the Faculty Personnel Policies Committee
- b. Two students, appointed by the Executive Board of Student Government
- c. Two staff, appointed by the President with input from the President's staff
- d. The Director of Library and Information Technology
- e. The Dean of the Faculty, or his or her delegate (ex officio, nonvoting member)

In addition to these, the Independent Scholar Committee, the Grievance Committee, the Faculty Diversity Recruitment Subcommittee (FDRS), and the Writing Program Steering Committee are standing committees of the faculty. Faculty members also serve on the student judicial committees.

The Faculty Personnel Policies Committee recommends to the President faculty members who should be asked to serve as representatives on the Board of Trustees and on the various Trustee committees. It is customary to ask the chairperson of the Faculty Personnel Policies Committee to represent faculty on the Board of Trustees. Usually, the chairpersons of the Academic Resources and Review Committee, the Curricular Policies Committee, and the Promotion and Tenure Subcommittee of the Faculty Personnel Policies Committee serve on the Academic Affairs Committee of the Board of Trustees.

There is one faculty member serving on the Student Affairs Committee, usually chosen from the two faculty members elected to the College Life Advisory Board. Similarly, the faculty representative on the Budget and Audit Committee usually is a member of the College Council.

APPENDIX A

Federal Trafficking Penalties - Marijuana

As of November 18, 1988

Quantity	Description	First Offense	Second Offense
1,000 kg or more; or 1,000 or more plants	Marijuana Mixture containing detectable quantity*	Not less than 10 years, not more than life. If death or serious injury, not less than 20 years, not more than life. Fine not more than \$4 million individual, \$10 million other than individual.	Not less than 20 years, not more than life. If death or serious injury, not less than life. Fine not more than \$8 million individual, \$20 million other than individual.
100 kg to 1,000 kg; or 100-999 plants	Marijuana Mixture containing detectable quantity*	Not less than 5 years, not more than 40 years. If death or serious injury, not less than 20 years, not more than life. Fine not more than \$2 million individual, \$5 million other than individual.	Not less than 10 years, not more than life. If death or serious injury, not less than life. Fine not more than \$4 million individual, \$10 million other than individual.
50 to 100 kg	Marijuana	Not more than 20 years. If death or serious injury, not less than 20 years, not more than life. Fine \$1 million individual, \$5 million other than individual.	Not more than 30 years. If death or serious injury, life. Fine \$2 million individual, \$10 million other than individual.
10 to 100 kg	Hashish		
1 to 100 kg	Hashish Oil		
50-99 plants	Marijuana		
Less than 50 kg	Marijuana	Not more than 5 years. Fine not more than \$250,000, \$1 million other than individual.	Not more than 10 years. Fine \$500,000 individual, \$2 million other than individual.
Less than 10 kg	Hashish		
Less than 1 kg	Hashish Oil		

*Includes Hashish and Hashish Oil

(Marijuana is a Schedule I Controlled Substance)

Federal Trafficking Penalties

As of November 18, 1988

CSA	PENALTY		Quantity	DRUG	Quantity	PENALTY	
	2nd Offense	1st Offense				1st Offense	2nd Offense
I and II	Not less than 10 years. Not more than life. If death or serious injury, not less than life. Fine of not more than \$4 million individual, \$10 million other than individual.	Not less than 5 years. Not more than 40 years. If death or serious injury, not less than 20 years. Not more than life. Fine of not more than \$2 million individual, \$5 million other than individual.	10-99 gm or 100-999 gm mixture	METHAMPHETAMINE	100 gm or more or 1 kg or more mixture	Not less than 10 years. Not more than life. If death or serious injury, not less than 20 years. Not more than life. Fine of not more than \$4 million individual, \$10 million other than individual.	Not less than 20 years. Not more than life. If death or serious injury, not less than life. Fine of not more than \$8 million individual, \$20 million other than individual.
			100-999 gm mixture	HEROIN	1 kg or more mixture		
			500-4,999 gm mixture	COCAINE	5 kg or more mixture		
			5-49 gm mixture	COCAINE BASE	50 gm or more mixture		
			10-99 gm or 100-999 gm mixture	PCP	100 gm or more or 1 kg or more mixture		
			1-10 gm mixture	LSD	10 gm or more mixture		
			40-399 gm mixture	FENTANYL	400 gm or more mixture		
			10-99 gm mixture	FENTANYL ANALOGUE	100 gm or more mixture		
	Drug	Quantity	First Offense		Second Offense		
	Others*	Any	Not more than 20 years. If death or serious injury, not less than 20 years, not more than life. Fine \$1 million individual, \$5 million not individual.		Not more than 30 years. If death or serious injury, life. Fine \$2 million individual, \$10 million not individual.		
III	All	Any	Not more than 5 years. Fine not more than \$250,000 individual, \$1 million not individual.		Not more than 10 years. Fine not more than \$500,000 individual, \$2 million not individual.		
IV	All	Any	Not more than 3 years. Fine not more than \$250,000 individual, \$1 million not individual.		Not more than 8 years. Fine not more than \$500,000 individual, \$2 million not individual.		
V	All	Any	Not more than 1 year. Fine not more than \$100,000 individual, \$250,000 not individual.		Not more than 2 years. Fine not more than \$200,000 individual, \$500,000 not individual.		

*Law as originally enacted states 100 gm. Congress requested to make technical correction to 1 kg.

*Does not include marijuana, hashish, or hash oil. (See separate chart.)

DRUGS OF ABUSE/Uses and Effects

				Dependence							
Drugs	CSA Schedules	Trade or Other Names	Medical Uses	Physical	Psycho-logical	Tolerance	Duration (Hours)	Usual Method	Possible Effects	Effects of Overdose	Withdrawal Syndrome
Narcotics											
Heroin	Substance I	Diamorphine, Horse, Smack, Black tar, <i>Chiva, Negra (black tar)</i>	None in U.S., Analgesic, Antitussive	High	High	Yes	3-4	Injected, snorted, smoked	Euphoria, drowsiness, respiratory depression, constricted pupils, nausea	Slow and shallow breathing, clammy skin, convulsions, coma, possible death	Watery eyes, runny nose, yawning, loss of appetite, irritability, tremors, panic, cramps, nausea, chills and sweating
Morphine	Substance II	MS-Contin, Roxanol, Oramorph SR, MSIR	Analgesic	High	High	Yes	3-12	Oral, injected			
Hydrocodone	Substance II, Product III, V	Hydrocodone w/ Acetaminophen, Vicodin, Vicoprofen, Tussionex, Lortab	Analgesic, Antitussive	High	High	Yes	3-6	Oral			
Hydro-morphone	Substance II	Dilaudid	Analgesic	High	High	Yes	3-4	Oral, injected			
Oxycodone	Substance II	Roxicet, Oxycodone w/ Acetaminophen, OxyContin, Endocet, Percocet, Percodan	Analgesic	High	High	Yes	3-12	Oral			
Codeine	Substance II, Products III, V	Acetaminophen, Guaifenesin or Promethazine w/Codeine, Fiorinal, Fioricet or Tylenol w/Codeine	Analgesic, Antitussive	Moderate	Moderate	Yes	3-4	Oral, injected			
Other Narcotics	Substance II, III, IV	Fentanyl, Demerol, Methadone, Darvon, Stadol, Talwin, Paregoric, Buprenex	Analgesic, Antidiarrheal, Antitussive	High-Low	High-Low	Yes	Variable	Oral, injected, snorted, smoked			
Depressants											
gamma Hydroxybutyric Acid	Substance I, Product III	GHB, Liquid Ecstasy, Liquid X, Sodium Oxybate, Xyrem®	None in U.S., Anesthetic	Moderate	Moderate	Yes	3-6	Oral	Slurred speech, disorientation, drunken behavior without odor of alcohol, impaired memory of events, interacts with alcohol	Shallow respiration, clammy skin, dilated pupils, weak and rapid pulse, coma, possible death	Anxiety, insomnia, tremors, delirium, convulsions, possible death
Benzodiazepines	Substance IV	Valium, Xanax, Halcion, Ativan, Restoril, Rohypnol (Roofies, R-2), Klonopin	Antianxiety, Sedative, Anti-convulsant, Hypnotic, Muscle Relaxant	Moderate	Moderate	Yes	1-8	Oral, injected			
Other Depressants	Substance I, II, III, IV	Ambien, Sonata, Meprobamate, Chloral Hydrate, Barbiturates, Methaqualone (Quaalude)	Antianxiety, Sedative, Hypnotic	Moderate	Moderate	Yes	2-6	Oral			
Stimulants											
Cocaine	Substance II	Coke, Flake, Snow, Crack, <i>Coca, Blanca, Perico, Nieve, Soda</i>	Local anesthetic	Possible	High	Yes	1-2	Snorted, smoked, injected	Increased alertness, excitation, euphoria, increased pulse rate & blood pressure, insomnia, loss of appetite	Agitation, increased body temperature, hallucinations, convulsions, possible death	Apathy, long periods of sleep, irritability, depression, disorientation
Amphetamine/ Meth-amphetamine	Substance II	Crank, Ice, Cristal, Krystal Meth, Speed, Adderall, Dexedrine, Desoxyn	Attention deficit/ hyperactivity disorder, narcolepsy, weight control	Possible	High	Yes	2-4	Oral, injected, smoked			
Methylphenidate	Substance II	Ritalin (Illy's), Concerta,	Attention	Possible	High	Yes	2-4	Oral,			

		Focalin, Metadate	deficit/ hyperactivity disorder					injected, snorted, smoked			
Other Stimulants	Substance III, IV	Adipex P, Ionamin, Prelu-2, Didrex, Provigil	Vaso- constriction	Possible	Moderate	Yes	2-4	Oral			
Hallucinogens											
MDMA and Analog	Substance I	(Ecstasy, XTC, Adam), MDA (Love Drug), MDEA (Eve), MBDB	None	None	Moderate	Yes	4-6	Oral, snorted, smoked	Heightened senses, teeth grinding and dehydration	Increased body temperature, electrolyte imbalance, cardiac arrest	Muscle aches, drowsiness, depression, acne
LSD	Substance I	Acid, Microdot, Sunshine, Boomers	None	None	Unknown	Yes	8-12	Oral	Illusions and hallucinations, altered	(LSD) Longer, more intense "trip" episodes	None
Phencyclidine and Analog	Substance I, II, III	PCP, Angel Dust, Hog, Loveboat, Ketamine (Special K), PCE, PCPy, TCP	Anesthetic (Ketamine)	Possible	High	Yes	1-12	Smoked, oral, injected, snorted	perception of time and distance	Unable to direct movement, feel pain, or remember	Drug seeking behavior *Not regulated
Other Hallucinogens	Substance I	Psilocybe mushrooms, Mescaline, Peyote Cactus, Ayahuasca, DMT, Dextro- methorphan* (DXM)	None	None	None	Possible	4-8	Oral			
Cannabis											
Marijuana	Substance I	Pot, Grass, Sinsemilla, Blunts, Mota, Yerba, Grifa	None	Unknown	Moderate	Yes	2-4	Smoked, oral	Euphoria, relaxed inhibitions, increased appetite, disorientation	Fatigue, paranoia, possible psychosis	Occasional reports of insomnia, hyperactivity, decreased appetite
Tetrahydro- cannabinol	Substance I, Product III	THC, Marinol	Antinauseant, Appetite stimulant	Yes	Moderate	Yes	2-4	Smoked, oral			
Hashish and Hashish Oil	Substance I	Hash, Hash oil	None	Unknown	Moderate	Yes	2-4	Smoked, oral			
Anabolic Steroids											
Testosterone	Substance III	Depo Testosterone, Sustanon, Sten, Cypt	Hypogonadism	Unknown	Unknown	Unknown	14-28 days	Injected	Virilization, edema, testicular atrophy, gyneco- mastia, acne, aggressive behavior	Unknown	Possible depression
Other Anabolic Steroids	Substance III	Parabolan, Winstrol, Equipose, Anadrol, Dianabol, Primabolin-Depo, D-Ball	Anemia, Breast cancer	Unknown	Yes	Unknown	Variable	Oral, injected			
Inhalants											
Amyl and Butyl Nitrite		Pearls, Poppers, Rush, Locker Room	Angina (Amyl)	Unknown	Unknown	No	1	Inhaled	Flushing, hypotension, headache	Methemo- globinemia	Agitation
Nitrous Oxide		Laughing gas, balloons, Whippets	Anesthetic	Unknown	Low	No	0.5	Inhaled	Impaired memory, slurred speech, drunken behavior, slow onset vitamin deficiency, organ damage	Vomiting, respiratory depression, loss of consciousness, possible death	Trembling, anxiety, insomnia, vitamin deficiency, confusion, hallucinations, convulsions

APPENDIX C

Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely, increasing the likelihood that the driver will be involved in an accident. Low to moderate doses of alcohol also increase the incidence of a variety of aggressive acts, including spouse and child abuse. Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person's ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life-threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and liver.

Mothers who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholics.

APPENDIX D

June 29, 2009

Re: Campus Conduct Hotline

Dear Faculty, Staff and Students:

It is very important to the College that we conduct all our educational programs, business operations and institutional practices in a fair and ethical manner. With this in mind, I am pleased to announce a new service. It is called ***Campus Conduct Hotline***© and it is designed to make it possible for you to confidentially report concerns about possible unethical or improper behavior on campus. The ***Campus Conduct Hotline***© system is available for your use around the clock, seven days a week. Because the ***Hotline*** is operated by an independent organization, any calls made through this ***Hotline*** are completely confidential and anonymous.

Using this new reporting service is easy. If you have a question or concern about a possible instance of unethical behavior, violation of fair employment policies, or the like, simply dial toll-free to **866.943.5787**.

Once you have dialed the toll-free number, here is how the reporting and follow-up processes work:

- Your call will be greeted promptly and courteously by a person who makes certain you understand the ***Campus Conduct Hotline***© program and how it functions. If you prefer to make your report in a language other than English, just let the person who answers know and a translator will be provided.
- At the beginning of the interview, you will be provided with a five digit, randomly generated case number that you should use to check back for updates and requests for additional information. Be sure to write this number down and remember where you put it!
- You will then be interviewed about the question or concern that is on your mind.
- Your interview will not be recorded. Instead, the interviewer will be typing notes of your conversation. Whether or not you choose to provide your name is completely up to you.
- Within one business-day of your call, a summary of the interview will be forwarded to our institution. The Hotline's goal will be to have a basic response back to you in five business days.

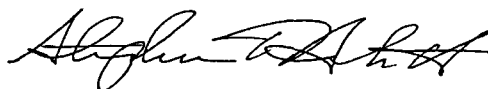
- To receive your response, you will need to call back and provide the five digit case number that has been assigned to you. At that time, you might be asked to provide additional information or to call back at a later date. You will be able to keep checking back for updates until your case is closed.

Because of the built-in confidentiality, it is important that you try to be as specific as possible about the information you provide. For example, you will need to provide the name of the department you work in and the location you are calling about. And, please be sure to call back in five business days to check to see if any additional information is needed. Alternatively, if you would like someone to contact you directly, you can leave your name along with a phone number where and when you would prefer to be called.

To repeat, at no time is any caller required to identify himself or herself and all information provided can be completely confidential and anonymous.

The College is committed to maintaining the highest ethical standards on campus. If you experience or observe what you believe is inappropriate behavior and are unsure what to do, I hope you will use the ***Campus Conduct Hotline***© to report it.

Sincerely,

A handwritten signature in black ink, appearing to read "Stephen D. Schutt", with a stylized flourish at the end.

Stephen D. Schutt
President of the College

When should you call Campus Conduct Hotline?

Campus Conduct Hotline offers an easy, comfortable way to report activity or behavior you may observe or experience on campus that is harmful, unethical, questionable, or causes you or someone else personal injury. You should call the Campus Conduct Hotline if you experience or observe any of the following:

- Fraud or crime
- Sexual harassment
- Discrimination
- Safety or facility risk issues
- Security and Internet policy abuses
- Code of Conduct violations
- Workplace hostility
- Unethical grading practices
- Fraudulent financial or business practices
- Any other questionable behavior

Report

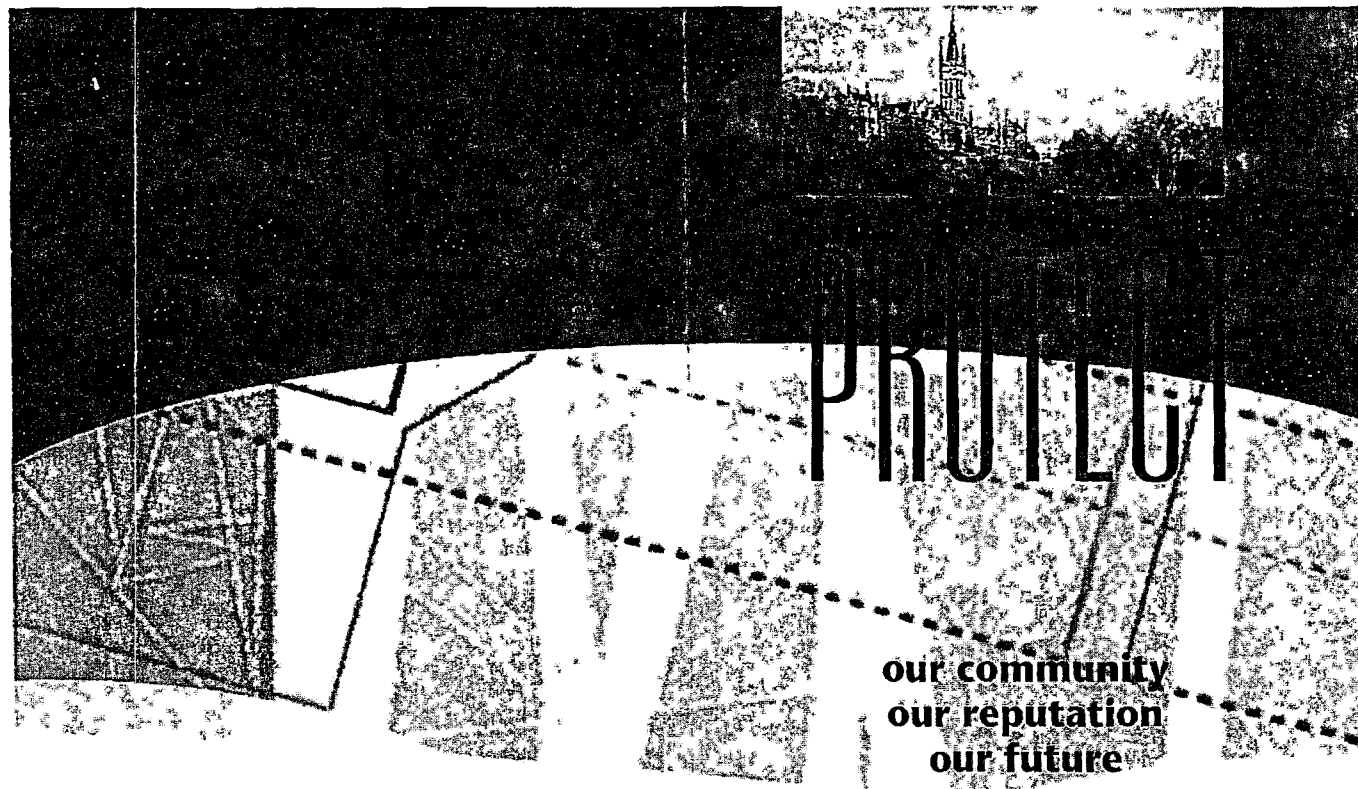
3

A report is filed
with your institution

Investigate

4

Your concern
is investigated



Protect
our community
our reputation
our future



866-943-5787

EIIA

educational & institutional insurance administrators, inc.

Campus Conduct Hotline (CCH) is brought to you by your institution and Educational & Institutional Insurance Administrators, Inc. (EIIA). EIIA is a leader in insurance services and risk management for higher education. For more information about CCH or EIIA visit our websites at www.CampusConduct.com and www.eiaa.org.

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Your confidential way to report
unethical behavior.

Campus Conduct Hotline

866-943-5787

Introducing Campus Conduct HotlineSM

Your Campus-Wide Safety Net

Campus Conduct Hotline is a confidential, independent, call-in service that provides a simple, anonymous way for you to help preserve the values and reputation of our institution. One phone call from you can alert the institution administration of problems that may affect the entire campus community.

***Protecting the principles of
honesty, integrity, excellence,
and a safe and healthy
environment for everyone.***

How Does Campus Conduct Hotline Work?

When you call Campus Conduct Hotline you will speak to a friendly, trained specialist who will guide you through the details of your concern. You will be given a case number for your reference, so your call will be completely anonymous. No information will be taken about you, so you will never be identified.

Your concerns will be submitted to the campus administration for investigation. Using your case number you can call Campus Conduct Hotline at any time to check on the status of the investigation and learn of any actions that have been taken—thanks to your phone call.

When you use Campus Conduct Hotline, your call will be:

- Confidential and anonymous
- Answered by a masters'-degreed specialist in psychology or social service
- Handled with support and sensitivity
- Reported to the administration for investigation
- Assigned a case number you can use to follow-up on the status of your concern

866-943-5787

Observe

1

You notice
questionable
behavior or unsafe
conditions

Alert

2

You call
Campus Conduct
Hotline to voice
your concern

Report

3

A report is filed
with your institution

Investigate

4

Your concern
is investigated

Resolved

5

A course of action
is determined

Campus
Conduct
Hotline

Your voice has
made a
difference

APPENDIX E

Fraud and standards of conduct policy

Lake Forest College

(Approved by the Budget and Audit Committee, April 8, 2011)

The policy below is a general statement on fraud and standards of conduct. Integral to this policy are the Conflict of Interest Policy and Whistleblower Policy. The Fraud Policy concentrates on the measures taken to *prevent and detect* fraud, through appropriate controls and through communication of standards of conduct. The Conflict of Interest supports this policy by communicating to the Board of Trustees, the President, Vice President and Directors the importance of avoiding activities that give rise to an actual or perceived conflict of interest. The Whistleblower Policy provides the opportunity for any member of the College community or public to disclose what he or she believes to be improper or unlawful activities without fear of retaliation. The Whistleblower Policy therefore is an important part of the Fraud and Standards of Conduct Policy, but the Fraud and Standards of Conduct Policy will address more specifically the expectation of the College Administration and Board of Trustees that potential fraud be addressed and prevented prior to occurrence.

This policy applies to any fraud or suspected fraud involving employees, officers or trustees, as well as members, vendors, consultants, contractors, funding sources and/or any other parties with a business relationship with Lake Forest College. Any investigative activity required will be conducted without regard to the suspected wrongdoer's length of service, position/title, or relationship with the College.

Policy

Management is responsible for the detection and prevention of fraud, misappropriations, and other irregularities. Fraud is defined as the intentional, false representation or concealment of a material fact for the purpose of inducing another to act upon it to his or her injury. Each member of the management team will be familiar with the types of improprieties that might occur within his or her area of responsibility, and be alert for any indication of irregularity.

Any fraud that is detected or suspected must be reported immediately to the President, Vice President for Business Affairs or, alternatively, to the Chair of the Lake Forest College Budget & Audit Committee.

Actions Constituting Fraud

The terms fraud, defalcation, misappropriation, and other fiscal irregularities refer to, but are not limited to:

1. Any dishonest or fraudulent act.
2. Forgery or alteration of any document or account belonging to Lake Forest College.
3. Destruction, alteration, mutilation, concealment, covering up, falsification or making of a false entry in any record, document or tangible object with the intent to impede, obstruct or influence any investigation by the College or any state, federal or administrative agency.
4. The destruction, alteration or concealment of any records used in the conduct of an audit.
5. Forgery or alteration of a check, bank draft, or any other financial document.

6. Misappropriation of funds, securities, supplies, equipment, or other assets of Lake Forest College.
7. Impropriety in the handling or reporting of money or financial transactions.
8. Disclosing confidential and proprietary information to outside or inappropriate parties.
9. Accepting or seeking anything of material value from contractors, vendors, or persons providing goods or services to the College. Exception: gifts less than a nominal amount of \$75 or less in value.
10. Destruction, removal or inappropriate use of records, furniture, fixtures, and equipment.
11. Improperly influencing or attempting to improperly influence the conduct of any audit of College finances or accounts.
12. Any similar or related irregularity.

Standards of Conduct

Staff employees are held to a standard of conduct as described in the employee handbooks, which are all available online. In addition to supporting standards of sound judgment, courtesy and good taste, the policy also prohibits any act which could harm the College or its employees or which interferes with the College's operations. An example of prohibited conduct is specifically any conduct that violates standards of honesty and ethical relationships. Background checks are done on key employees in the financial, public safety, development and technology areas at time of hire.

Students are informed of expected standards of conduct in the student handbook under Community Standards and Student Conduct. The Honor Code is also printed in the handbook and available online to all students. Per the Honor Code, members of the Lake Forest College community are expected to uphold the standards of

honesty, mutual respect, self-discipline, and civility that represent the core values of the college in all aspects of social and academic interactions.

The Faculty Handbook contains the policy on Misconduct in Scholarship. This policy prohibits fabrication, falsification, plagiarism or other practices that seriously deviate from those that are commonly accepted within the appropriate scholarly community for proposing, conducting, or reporting on scholarship. The handbook also contains the policy on Academic Honesty. The Faculty Handbook is given to every new member of the faculty.

Other Irregularities and Non-Fraud Irregularities

If there is a question as to whether an action constitutes fraud, College employees should contact the President, Vice President of Business Affairs or the Chair of the Budget & Audit Committee for guidance.

Identification or allegations of acts which are non-fraud, such as personal improprieties or irregularities, whether moral, ethical or behavioral, safety or work environment related, or complaints of discrimination or sexual harassment, should be resolved by the respective area department head in conjunction with Human Resources and/or reference to other existing College policy.

Identification and prevention of potential fraud opportunities

College administrators and all levels of management are responsible for establishing and maintaining

proper internal controls that provide security and accountability for the resources entrusted to them. Administrators should be familiar with the risks and exposures inherent in their areas of responsibility and be alert for any indications of improper activities.

Each member of Senior Staff is required to review this policy annually with key departmental staff. Particular attention should be paid to identifying potential areas for fraudulent conduct. Such conduct may be in connection with financial assets of the College as listed above or may be related to any other activities which may lead to the intentional, false representation or concealment of a material fact for the purpose of inducing another to act upon it to his or her injury.

Upon identification of potential fraud situations, the administration should review the likelihood that fraudulent behavior could occur – whether remote, possible or probable. The controls that are in place to prevent such behavior should be examined. In the cases where prevention controls would be overly difficult, detection controls, such as sampling, should be in place and regularly followed. The Vice President of Business Affairs should be consulted by departments when concerns about appropriate controls are raised. The Budget & Audit Committee should be informed annually of any areas which have a probable risk of fraud which cannot be addressed without addition of resources. Tolerance levels for risk are communicated to the Budget & Audit Committee.

Each area must review the effectiveness of controls put in place. Such review should take place annually or whenever significant changes in operation or personnel take place

Investigation Responsibilities

The Whistleblower Policy contains the steps taken by the intake officer when suspected fraud is reported through this manner. The Campus Conduct Hotline is available 24/7.

College employees may use the channel of communication most comfortable to them. They may choose to report concerns to their immediate supervisor, department head, or the President or VP of Business Affairs. Any reported or suspected fraud should be at a minimum brought to the attention of the Senior Staff administrator in that department.

When a member of Senior Staff suspects fraud and wishes to investigate further within his or her own department the following steps should be taken:

1. Do not contact the suspected individual to determine facts.
2. Immediately confer with the President and with the Vice President for Business Affairs, the senior administrator in charge of human resources.
3. Take care to avoid any incorrect accusations or violating a person's right to due process, or making statements that could lead to claims of false accusation or other civil rights violations.
4. Do not discuss the case, facts, suspicions or allegations with anyone unless directed to do so by the President or VP for Business Affairs.
5. Devise a plan to investigate the suspected fraud which will avoid mistaken accusations or alerting suspected individuals that an investigation is under way.
6. Review the investigation with the President and with the VP for Business Affairs.

The Administration, in consultation with the Budget & Audit Committee, has the primary responsibility for the investigation of all suspected fraudulent acts as defined in the policy. The investigation may utilize whatever internal and/or external resources considered necessary. If an investigation substantiates that fraudulent activities have occurred, the President, Vice President for Business Affairs or the Budget & Audit Committee Chair will issue reports to appropriate designated personnel and, if appropriate, to the Board of Trustees and/or the Executive Committee of the Board of Trustees.

Decisions to prosecute or refer the examination results to the appropriate law enforcement and/or regulatory agencies for independent investigation will be made in conjunction with legal counsel. Decisions regarding demotion, suspension or termination will also be made in conjunction with legal counsel.

If suspected fraud or other wrongdoing involves programs funded in whole or in part with federal funds, additional responsibilities, such as special reporting and disclosure to the awarding agency, may apply. It is the policy of Lake Forest College to fully comply with all additional reporting disclosure and other requirements pertaining to suspected acts of fraud as described in award documents.

Document Retention

It is the intent of the College to comply with all relevant state and federal document retention requirements.

Confidentiality and Whistleblower Protections

In the event that institutional prevention and detection controls are not sufficient to identify fraud, the Whistleblower Policy becomes an important element of fraud detection. The Whistleblower Policy outlines procedures for disclosure and investigation of suspected fraud. It also details the steps taken to protect the confidentiality of the person making the charge.

Authority for Investigation of Suspected Fraud

Those individuals assigned to investigate suspected fraud will have:

1. Free or unrestricted access to all Lake Forest College records and premises, whether owned or rented; and
2. The authority to examine, copy, and/or remove all or any portion of the contents of files, desks, cabinets, and other storage facilities on the premises without prior knowledge or consent of any individual who may use or have custody of any such items or facilities when it is within the scope of their investigations.

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